



# **Policies and Procedures**

# **Manual**

Certificate of Recognition (COR) Program



## I. Acknowledgments

AgSafe would like to thank the members of our Technical Advisory Committee, the WorkSafeBC COR department and any others for their contribution and advice during the development of our program. We would also like to extend our sincere appreciation to go2, BCMEA and the members of the Certifying Partners Working Group Committee that offered input and provided existing resources. Their support has assisted us with the development of our program and helped us provide the agriculture industry with resources needed to participate in the program.

## II. AGSAFE – Formerly known as Farm and Ranch Safety and Health Association (FARSHA)

Since 1993, AgSafe (FARSHA) has promoted safety and health in BC farming, through on-going activities around the province and through the development of commodity specific tools such as safety programs, training courses, and workplace reviews.

AgSafe's work is funded by a levy on the assessments paid to WorkSafeBC by the registered farm employers of British Columbia.

Regional Safety Consultants and Agricultural Health and Safety Specialists provide courses using standardized packages developed to meet the needs of BC agriculture, plus, AgSafe's Consultants and Specialists provide on-site assistance, bringing a blend of experience and knowledge that enables them to support the industry by:

- Coordinating and delivering training on safety related topics such as:
  - Forklift
  - WHIMS
  - New Worker Orientation
  - Health and Safety Training for Supervisors
  - Tractor Safety Awareness
  - MSI Prevention
  - Animal Handling
  - Return to Work
- Implementing health and safety programs
- Identifying hazards or hazardous practices
- Facilitating the set up and training of safety committees
- Reviewing safety operations
- Interpreting and advising on agriculture health and safety regulations
- Providing safety material, booklets, signage, posters and videos in various languages
- Coordinate First Aid training
- Delivering Pesticide Applicators training courses

## III. Disclaimer

The information presented in this document is intended for general use and may not apply to all circumstances. It does not cover all aspects of existing legislation and regulation and does not relieve individuals using this document from their responsibilities as prescribed under applicable legislation and regulation. AgSafe does not guarantee the accuracy or assume liability for the information presented here.

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## 1. Introduction

Since 1998 the agriculture industry has seen a 45% reduction in the injury rate, a 41% reduction in WorkSafeBC violations, and a \$1.8 million annual reduction in claims costs. In its effort to extend these positive trends AgSafe has partnered with WorkSafeBC, as a certifying partner, to provide employers in the primary agricultural industry access to the Certificate of Recognition (COR) program.

AgSafe facilitates the delivery of the COR program to employers in agriculture and naturally aligned industries, corresponding mainly with WorkSafeBC subsector 7010 – Agriculture which includes the following classification units:

- 701001 - Artificial Insemination or Animal Breeding
- 701002 - Apiary
- 701003 - Berry Farming
- 701004 - Composting
- 701005 - Dairy Farming or Livestock Auctioning Services
- 701006 - Egg Farming
- 701007 - Exotic Poultry Farming
- 701008 - Farm Labour Supply of Farm Services
- 701009 - Feed Lot
- 701010 - Fur Bearing Animal Farming
- 701011 - Grain Farming
- 701012 - Greenhouse
- 701013 - Hay or Seed Farming
- 701014 - Hog Farming
- 701015 - Hunting or Trapping
- 701016 - White Mushroom Farming
- 701017 - Orchard
- 701018 - Ornamental Nursery
- 701020 - Poultry Farming and Related Services
- 701022 – Ranch
- 701023 - Horse Ranching, Raising, and Breeding
- 701024 - Sod or Turf Nursery
- 701025 – Vegetable Farming
- 701026 – Vineyard
- 701027 - Wild Plant Harvesting
- 701028 – Floral Greenhouse
- 701029 - Vegetable Greenhouse

This audit policies and procedures manual was developed to ensure that AgSafe staff, student auditors, all AgSafe certified auditors, and employers have current, accurate information about the Partnerships in Prevention Certificate of Recognition (COR) program, and the standards that they are required to follow.



## 2. AgSafe as a Certifying partner

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 generally serves as the employers' main point of contact regarding all operational aspects of the COR program, though it is not responsible for issuing WorkSafeBC incentive payments to employers participating in the COR program.

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.

Agriculture's Certifying Partner, AgSafe, will help guide employers towards earning a certificate of recognition (COR) – a certificate awarded to an employer who has implemented a health and safety, or injury management/return-to-work program verified by an audit. Certifying Partners are typically safety associations, such as AgSafe, recognized by WorkSafeBC as having in-depth industry knowledge that is used to promote and develop workplace health and safety. Agricultural employers must register with AgSafe to take part in the program. AgSafe can then guide the employer to implement a health and safety and injury management/return-to-work programs and help the employer complete and pass a COR audit by providing the following:

- industry specific resources, training and education
- conducting initial gap-analysis audits followed by pre-certification baseline audits
- audit tools for large and small employers
- industry specific auditors
- internal auditor training for both large and small employer operations
- maintaining confidentiality and quality assurance of employers' records and audit

## 3. COR Program Overview

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

- Occupational Health and Safety Certificate of Recognition (OHS COR)
- Injury Management/Return-to-Work Certificate of Recognition (RTW COR) **\*\*Program on Hold\*\***

The OHS COR recognizes that an employer has implemented an occupational health and safety program that meets COR standards and guidelines, exceeds regulatory requirements and ensures that systems are 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 program. 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.

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 an annual incentive payment of 75% of their premium up to a \$1000 or 10 percent of their WorkSafeBC base assessment. Employers who earn the RTW COR can receive an additional incentive of 5 percent of their WorkSafeBC base assessment. These incentives are paid in the year following COR certification. **\*\*IM/RTW program is currently on hold by WSBC\*\***

Employers who obtain the Occupational Health and Safety Certificate of Recognition (OHS COR) will receive an incentive payment using the following calculation:

Employer's reported assessable payroll x CU Base Rate divided by \$100 of assessable payroll x 10%

For example, if your company's reported payroll was \$2 million and your CU base rate was \$2.00, your incentive payment would be \$4,000:

$$(\$2,000,000 \times \frac{\$2.00}{\$100}) \times 10\% = \$4,000$$

If your company also completed the [Injury Management/Return-to-Work COR](#) it would be eligible for an additional 5%, (or \$2,000).

$$(\$2,000,000 \times \frac{\$2.00}{\$100}) \times 5\% = \$2,000$$

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 programs 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 incentive payment 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 programs 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.

### 3.1 COR Incentive Eligibility

The COR incentive payment is only issued if the company is "in good standing" with WorkSafeBC. A participating employer may be ineligible for a COR incentive payment when any of the following conditions apply:

- The employer has engaged in activity which would cause WorkSafeBC to consider imposing, or has resulted in WorkSafeBC imposing, an administrative penalty (see WorkSafeBC 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 (for the applicable CU) 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 remain ineligible for a COR incentive payment until the condition causing the ineligibility has been resolved. Where the employer's activities have resulted in it being ineligible for the COR incentive payment and where an appeal process with WorkSafeBC is in place and an appeal is being pursued by the employer, the employer's eligibility for a COR incentive payment will not be determined until the appeal process has been completed.

If the appeal at WorkSafeBC is resolved in favour of the employer, the COR incentive payment will be issued. 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 incentive payment 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 during the COR certification and incentive process, may lose their COR status and be required to repay any previously issued incentive payments.

### 3.2 Incentive Timing

Incentives are paid annually, come directly from WorkSafeBC, and are based on the previous year's audit and payroll for each CU. In order to be eligible for an early summer incentive cheque, companies must have their audits performed by the end of previous calendar year (or by the anniversary date of maintenance or recertification audits) and submit their annual payroll assessment reports to WorkSafeBC on time. For those companies who have complex CU issues or who are late in submitting their assessment information, WorkSafeBC provides a few additional opportunities (roughly one per quarter) to have an incentive cheque issued.

### 3.3 WorkSafeBC COR Program Standards and Guidelines

All COR Programs in British Columbia are coordinated by WorkSafeBC. WorkSafeBC regulates all Certifying Partner activities via the key document 'COR Program Standards and Guidelines'. This document is available on the WorkSafeBC web site at:

[http://www.worksafebc.com/insurance/partners\\_program/assets/standards\\_guidelines.pdf](http://www.worksafebc.com/insurance/partners_program/assets/standards_guidelines.pdf) and is updated from time to time under the sole control of WorkSafeBC. It defines responsibilities of WorkSafeBC, AgSafe (and all other Certifying Partners), auditors and companies within the COR program. WorkSafeBC is responsible for managing the program and issuing COR incentive payments. If AgSafe reports that a particular company's Classification Unit (CU) has passed a COR audit, WorkSafeBC will then consider that CU for a COR incentive payment. Neither the auditor nor AgSafe has any influence over this process beyond accurately reporting and tracking the activities of companies, accounts and their CUs.

## 4. COR Responsibilities

### 4.1 Certifying Partner – AgSafe

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. To fulfill its audit related responsibilities as a certifying partner, AgSafe will:

- Facilitate the registration of employers who fall within their area of responsibility
- Support employers in their efforts to achieve and maintain the Certificate of Recognition
- Coordinate education and training courses
- Select, train and certify auditors
- Maintain a list of qualified COR auditors
- Act as a liaison between COR participants and WorkSafeBC
- Award the Certificate of Recognition
- Perform auditor and audit quality assurance
- Maintain a program database and records

### 4.2 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 as it relates to the audit process, WorkSafeBC will.

- Provide assistance and guidance to AgSafe on auditor and audit quality assurance matters
- Approve and oversee AgSafe's auditor and audit quality assurance process
- Audit AgSafe as a certifying partner
- Provide information on the safety performance of certified companies

### 4.3 Employer

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. Specific audit responsibilities of employers who choose to participate in the COR program include:

- Ensure conflicts of interest are avoided
- Ensure that audits are planned and scheduled
- Specify which areas are audited for COR certification
- Foster a positive audit environment by assisting and cooperating with the auditor so that audit objectives are met
- Provide access to facilities and supporting information as requested by the auditor
- Provide AgSafe with feedback on the audit process to assist with continuous improvement

- Provide AgSafe with information related to changes in the scope of business (adding or abandoning Classification Units (CU's), changes in ownership, significant mergers or acquisitions)

## 4.4 Auditor

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 program and/or injury management/return-to-work program. Specific audit responsibilities of auditors include:

- Complete the COR audit using AgSafe’s COR audit tool
- Follow the audit Policies and Procedures Manual and large or small employer internal auditor training manual
- Conform to Code of Ethics
- Act as an ambassador of the COR program and AgSafe

## 5. COR Certification Process

### 5.1 Standard Certification Process

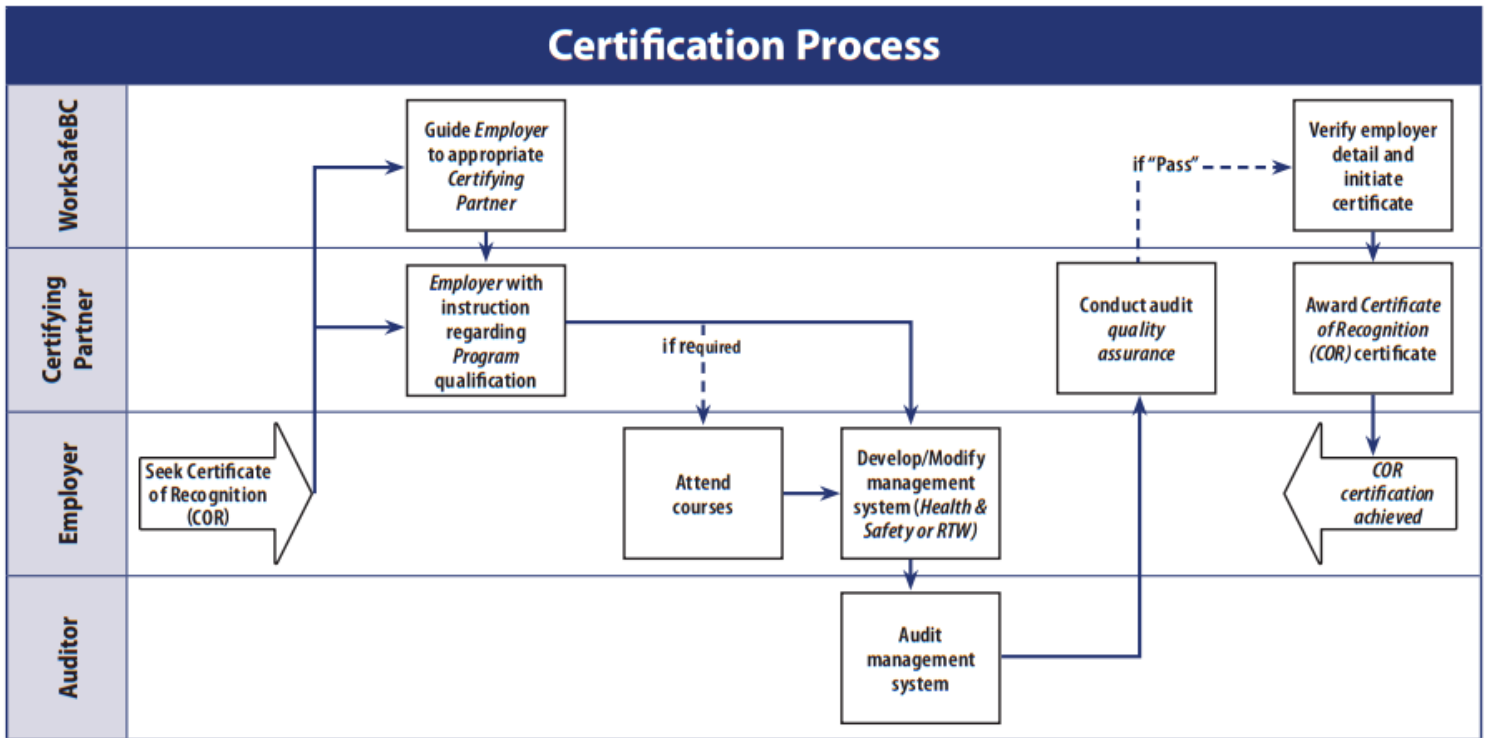
Employers must successfully complete an initial qualifying audit (i.e. certification audit) to receive a Certificate of Recognition. The certificate is good for 3 years and over the following two years, employers must complete annual maintenance audits and use the results to generate an action plan for continuous program improvement. By the fourth year, the employer must successfully complete a re-certification audit to remain certified for another 3 years (see figure 1).

Figure 1.

Large Employers (20 or more workers)			
First Year	Certification Audit	External Auditor	Must Pass
Second Year	Maintenance Audit	Internal or External Auditor	N/A
Third Year	Maintenance Audit	Internal or External Auditor	N/A
Fourth Year	Recertification Audit	External Auditor	Must Pass
Small Employers (19 or less workers)			
First Year	Certification Audit	Internal or External Auditor	Must Pass
Second Year	Maintenance Audit	Internal or External Auditor	N/A
Third Year	Maintenance Audit	Internal or External Auditor	N/A
Fourth Year	Recertification Audit	Internal or External Auditor	Must Pass

The diagram below (see figure 2) outlines the general certification 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.

Figure 2.



## 5.2 AgSafe's Certification and Maintenance Process

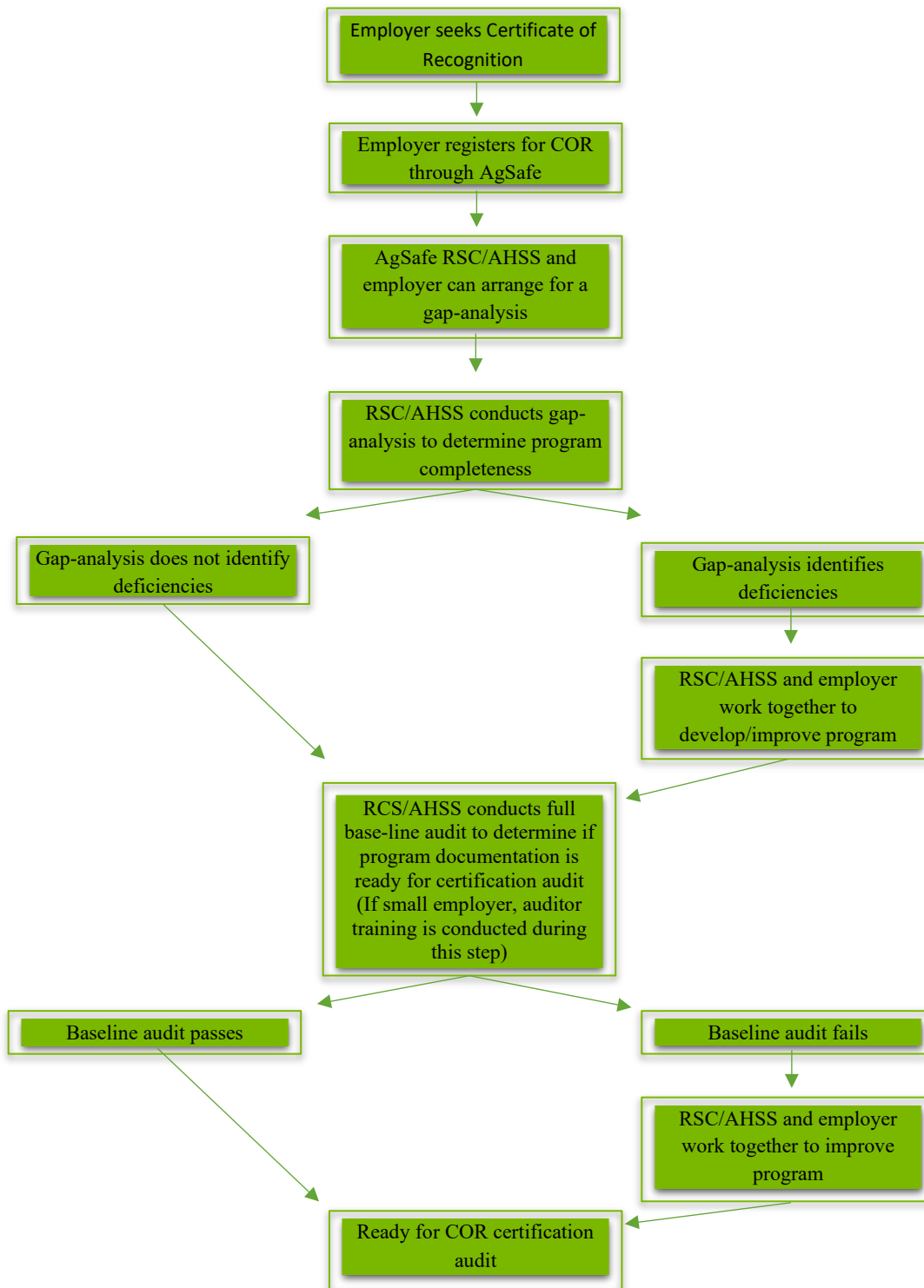
AgSafe follows the standard COR certification and maintenance process for certifying employers in agriculture and naturally aligned industries, corresponding mainly with WorkSafeBC subsector 7010 - Agriculture. However, for those employers who fall solely under WorkSafeBC subsector 7010, AgSafe can provide extra services, free of charge, to ensure employers success in the program.

### Extra services AgSafe can provide includes:

- **Gap-analysis**
  - Once an employer has registered for the COR program, AgSafe's Regional Safety Consultants (RSCs)/Agriculture Health and Safety Specialists (AHSSs) can conduct an initial gap-analysis to determine the state of the employer's health and safety/RTW program. Deficiencies in the program will be determined and a "To-do-list" can be generated.
  
- **Base-line audit**
  - When the employer feels the health and safety/RTW program meets COR standards and guidelines, a AgSafe RSC/AHSS can conduct a full baseline audit on the program documentation. The baseline audit will identify whether the program documentation is ready for a certification audit. Note, AgSafe conducts internal auditor training for small employer operations during this time.
  
- **Program development and implementation**
  - Following gap-analysis, baseline or any other COR audits, AgSafe's RSC/AHSS can help employers meet COR requirements by:
    - Coordinating and delivering training on safety related topics
    - Identifying hazards or hazardous practices and conducting risk assessments
    - Facilitating the set up and training of safety committees
    - Reviewing safety operations
    - Interpreting and advising on agriculture health and safety regulations
    - Providing safety material, booklets, signage, posters and videos in various languages.
    - Coordinate First Aid training
    - Delivering Pesticide Applicators training courses

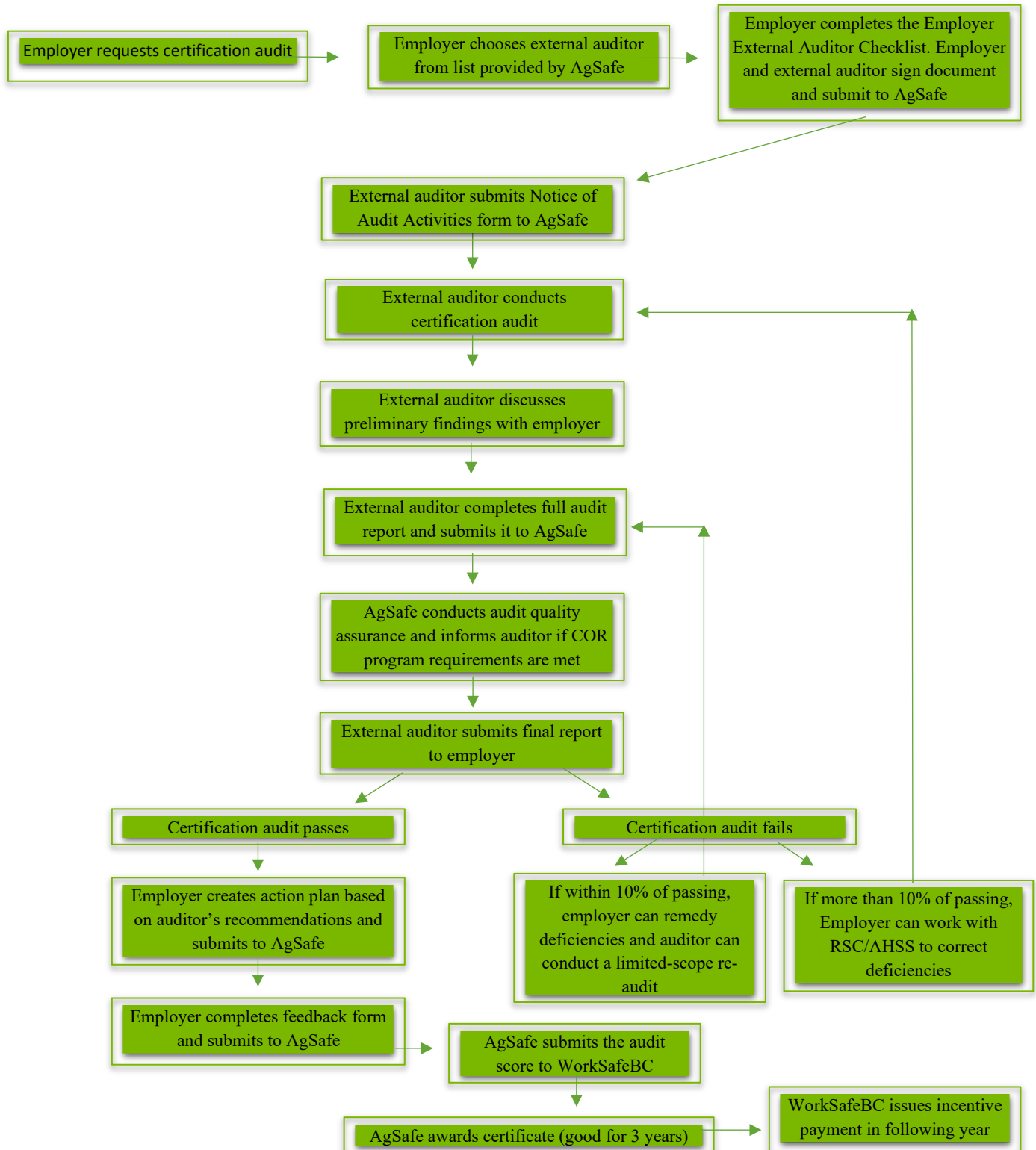
The diagrams on the following pages provide a detailed outline of AgSafe's certification and maintenance process for large and small employer operations.

## 5.2.1 Initial Audit Cycle for Large and Small Employers

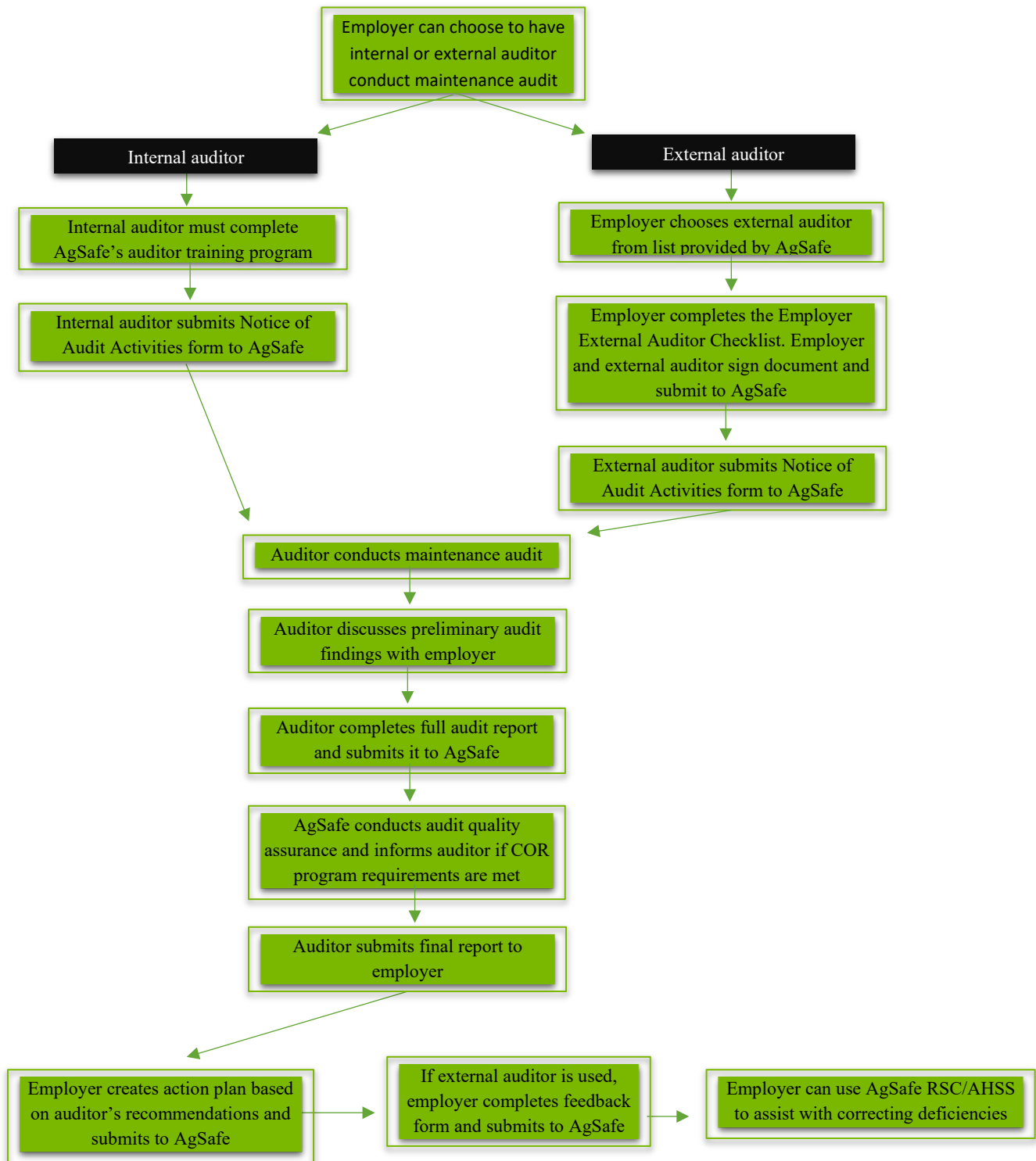




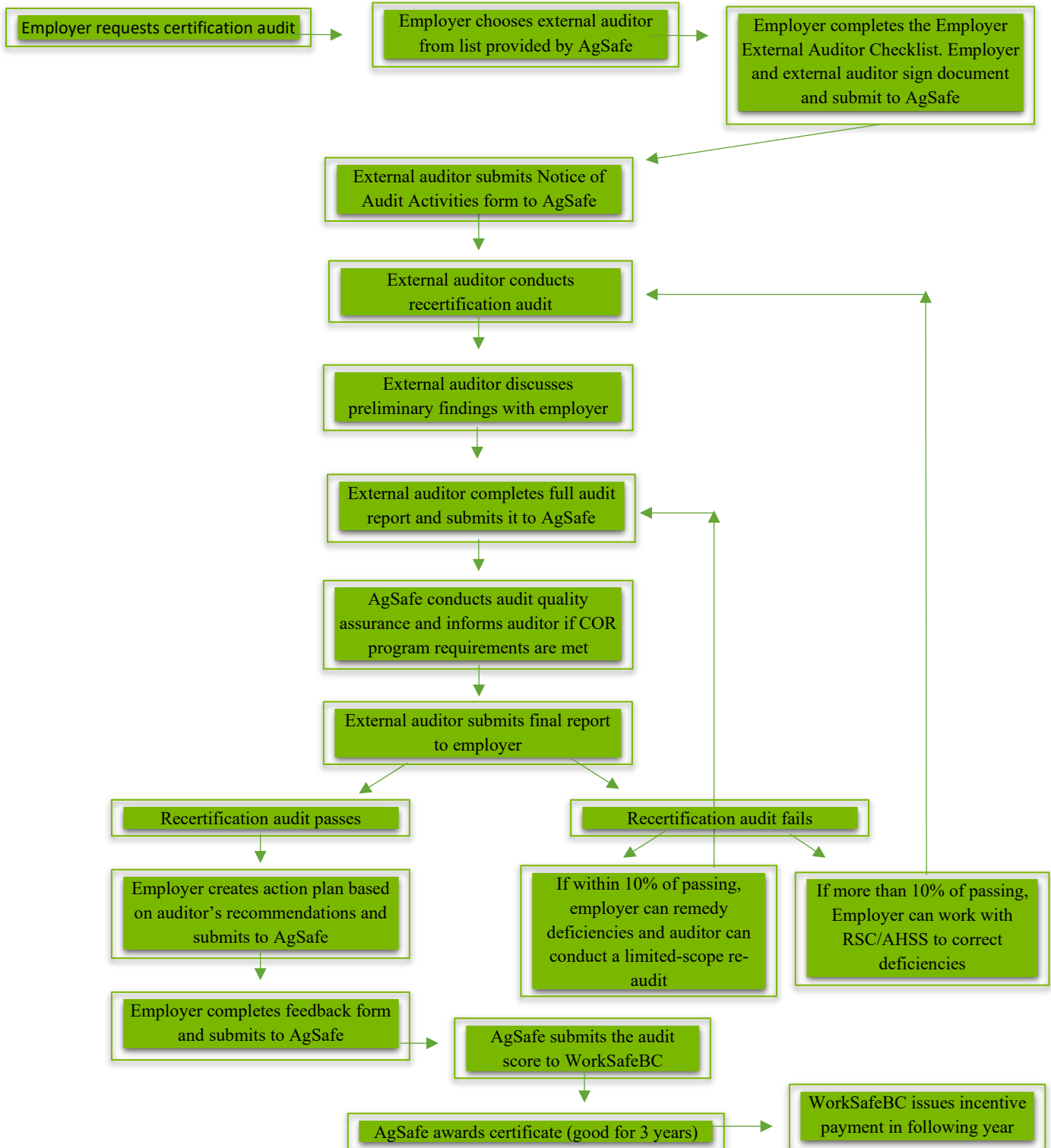
## 5.2.2 Certification Audit Cycle for Large Employers (Year 1)



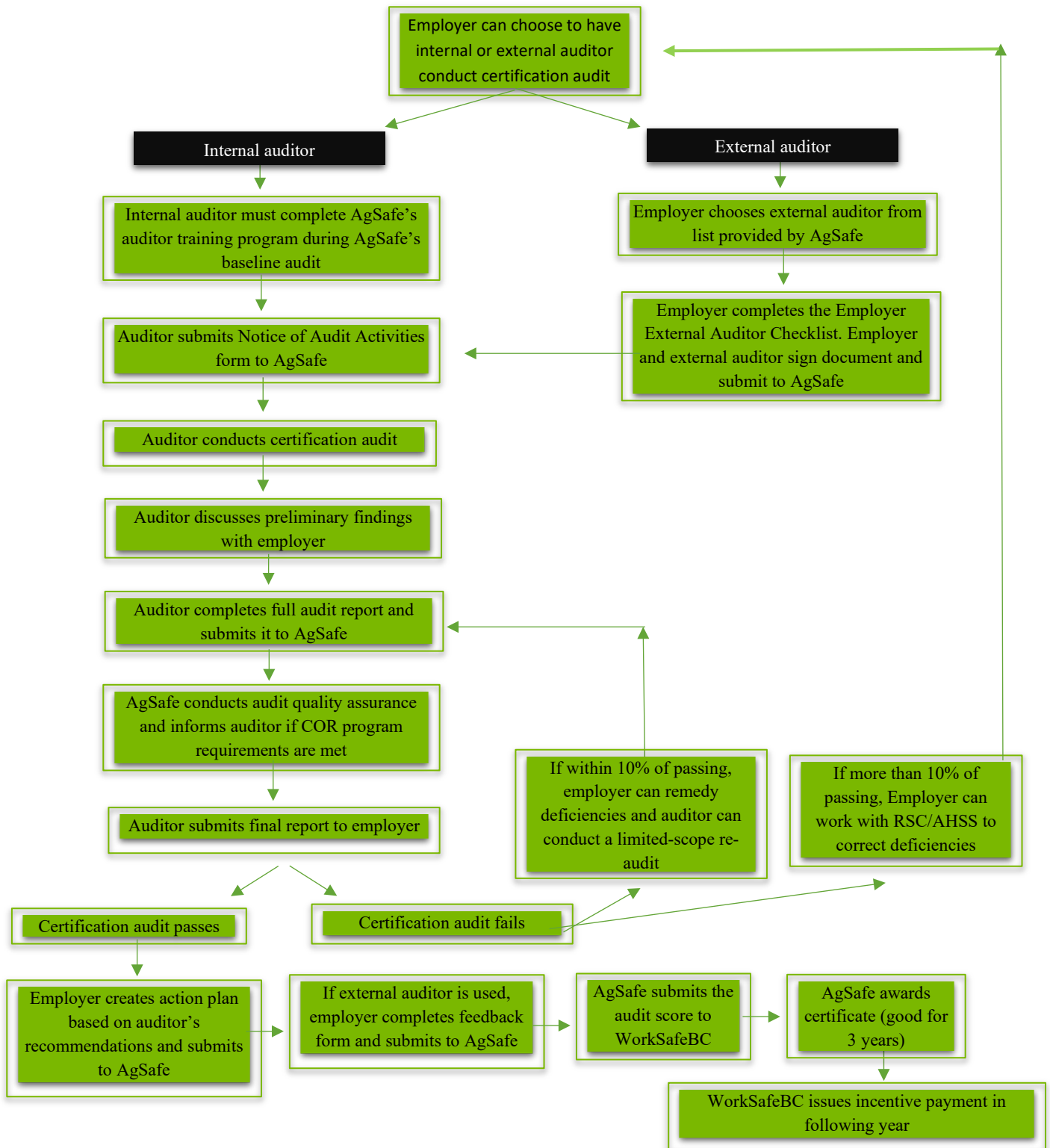
### 5.2.3 Maintenance Audit Cycle for Large Employers (Year 2 & 3)



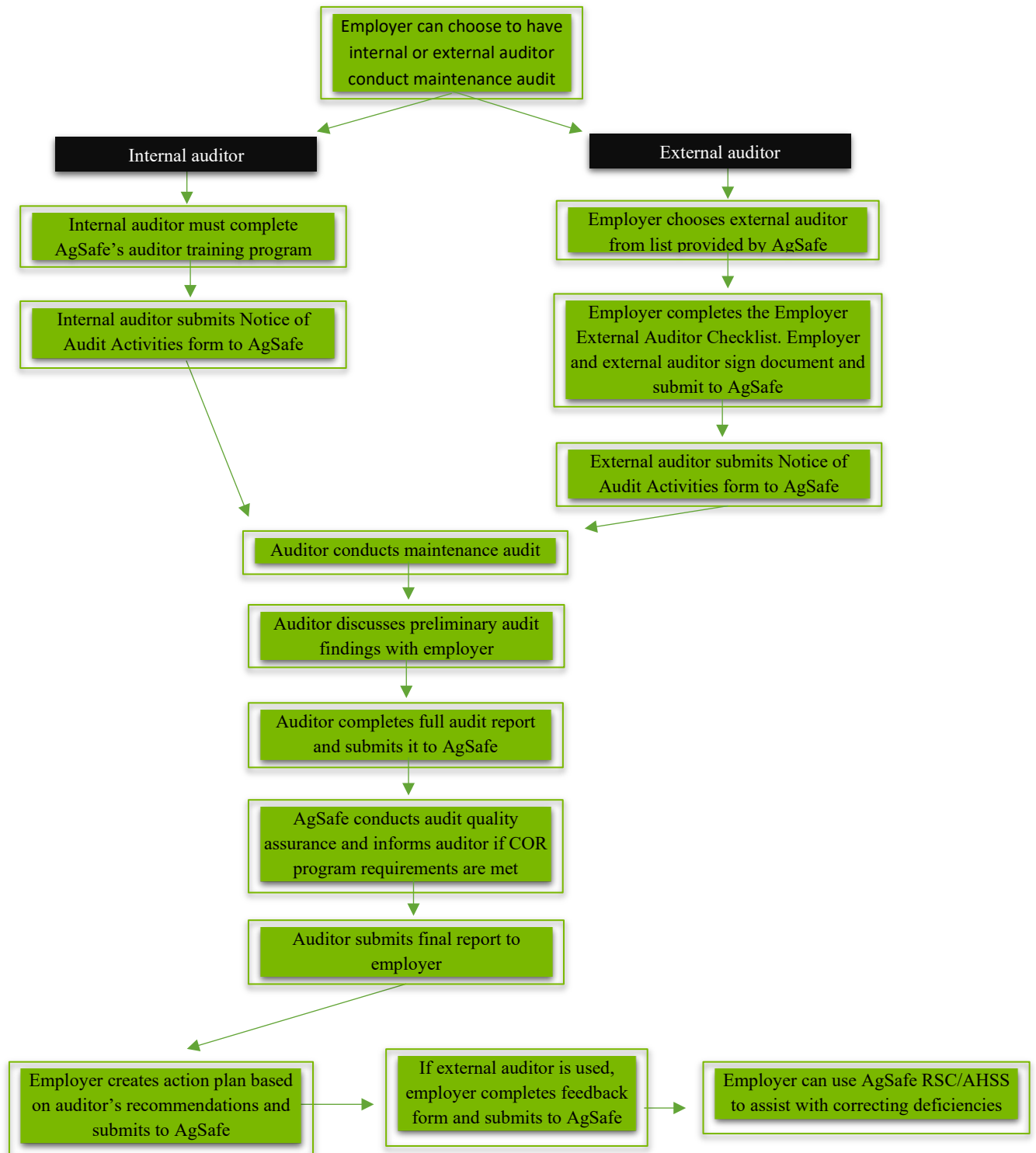
## 5.2.4 Recertification Audit Cycle for Large Employers (Year 4)



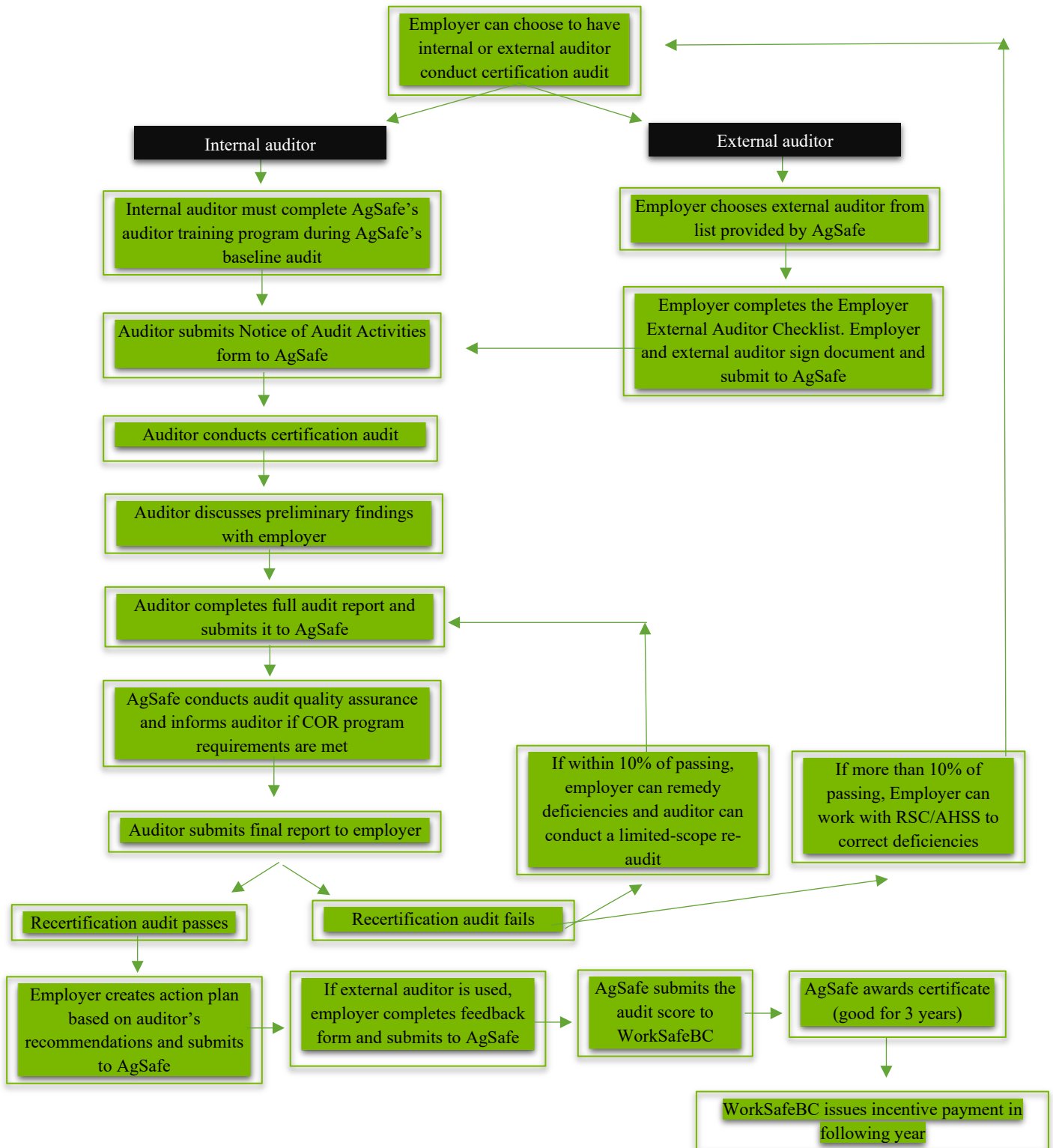
## 5.2.5 Certification Audit Cycle for Small Employers (Year 1)



## 5.2.6 Maintenance Audit Cycle for Small Employers (Year 2 & 3)



## 5.2.7 Recertification Audit Cycle for Small Employers (Year 4)



## 6.1 External Auditors

### 6.1.1 Selection

AgSafe COR external auditors must have a high degree of expertise and competency in occupational health and safety auditing as well as good working knowledge of the agriculture industry.

#### **Experience**

Preferred candidates will possess a minimum of five years of experience working as a safety professional within the last ten years.

#### **Education/Certification**

Preferred candidates will hold a certificate or diploma in occupational health and safety or a 4-year post-secondary degree in a life science related field or a Canadian Registered Safety Professional (CRSP) or Registered Occupational Hygienist (ROH) or other similar health and safety related designation.

#### **Training**

Preferred candidates will have already received a minimum 35 hours of combined instruction and training from another certifying partner on how to conduct, document and score a COR audit of health and safety and/or injury management/return-to-work programs including having successfully passed a qualifying examination.

All qualified applicants are required to submit a copy of their resume outlining their education/certifications and experience in health and safety and any audit related training to AgSafe's COR program manager via e-mail: [cor@agsafebc.ca](mailto:cor@agsafebc.ca).

AgSafe will consider all applicants, with priority given to those whom AgSafe deems most qualified. When the need for external auditors arises, an AgSafe representative will contact those individuals and arrangements can be made to take AgSafe's external auditor training program.

### 6.1.2 Training and Certification

External auditors must receive a minimum of 35 hours of combined instruction and training from a certifying partner on how to conduct a COR audit of a health and safety and/or injury management/return-to-work program.

AgSafe does not offer 35 hours of combined instruction and training on how to conduct a COR audit of a health and safety and/or injury management/return-to-work program. Successful candidates must have already taken and successfully passed a 35-hour external auditor training course from another certifying partner. However, AgSafe does have a 7-hour external auditor training program that auditors are required to take, followed by a student audit, before being certified to conduct COR audits for AgSafe.

AgSafe's minimum standards for external auditor training require participants to:

[www.AgSafeBC.ca](http://www.AgSafeBC.ca)

- Attended and successfully complete 35 hours of combined instruction and training, from another certifying partner, on how to conduct a COR audit of a health and safety and/or injury management/return-to-work program; and
- Attend and successfully complete AgSafe’s 7-hour External Auditor Training Program; and
- Conduct a student audit, on an agricultural employer’s health and safety program, that passes a qualification review by AgSafe within six months of completing the training session; and
- Sign and abide by the Auditor Code of Ethics

### 6.1.2.1 Training Exemptions

External auditor candidates may be exempted from having completed a minimum 35 hours of combined instruction and training from another certifying partner provided the candidate’s qualifications and experience exceed the minimum requirements and satisfy AgSafe’s expectations.

AgSafe will notify those applicants, who have not received a minimum 35 hours of combined instruction and training from another certifying partner whether their qualifications and experience satisfy AgSafe’s expectations.

### 6.1.2.2 AGSAFE’s External Auditor Training Program

AgSafe’s External Auditor Training Program is a 7-hour training course, followed by a student audit, that recognizes auditor candidates who already possess the necessary qualifications and have successfully completed COR external auditor training from another certifying partner, unless exempted from doing so. AgSafe’s external auditor training program is designed to build upon the auditor’s knowledge and expertise in auditing health and safety programs from other industries and apply them to agriculture.

The training program covers AgSafe’s audit processes and protocols, auditor responsibilities, on-site biosecurity issues and hazards the auditor could expect to encounter while auditing various agriculture operations.

More information about AgSafe’s External Auditor Training Program is located in the External Auditor Training Manual.

### 6.1.2.3 Student Audit

The student external auditor is expected to complete a student audit, within 6 months following the training, of an agriculture employer’s health and safety program. AgSafe can coordinate such activities and will perform a quality assurance review once the audit is submitted to AgSafe’s COR program manager.

The student external auditor is expected to conduct a full audit, including documentation review, observations and interviews, including completion and submission of a full audit report as outlined in AgSafe’s External Auditor Training Manual. The audit may be a baseline audit for an uncertified company, or a maintenance audit for a certified company but cannot be used as a certification or recertification audit.

Student external auditors are prohibited from charging any day or hourly rate for their student audit. However, they may recover up to the exact, itemized costs, supported by receipts for travel and accommodation from the client, if the client agrees.



### 6.1.3 External Auditor Per Diem Charges

AgSafe has established a maximum per diem rate of \$750 which external auditors may charge employers for audit services. This figure was established by reviewing estimated incentive payments for BC agriculture employers that achieve COR certification and by taking into account the average time auditors would need to conduct COR audits for the various agriculture operations they may encounter. It is based on an 8-hour work day for time on site and does not include time to meet with clients or time to complete the audit report. These activities may be billed on an hourly basis provided the time does not exceed the \$750 per diem limit (e.g. \$750 / 8-hour day = maximum \$93.75 hourly charge). Auditors may negotiate other expenses, such as travel and accommodation, with the client.

### 6.1.4 Certification Maintenance

Under the COR Program Standards and Guidelines, external auditors are required to perform two audits per 3-year certification cycle. It is the auditor's responsibility to complete these audits and report to AgSafe using the COR External Auditor Annual Auditor Declaration Form (see Appendix).

External auditors are also required to complete seven hours of auditor refresher/recertification training during each 3-year certification cycle. AgSafe will provide its external auditors with the opportunity to conduct refresher or top-up training that will count towards the 7-hour requirement. Check with AgSafe for dates and frequency of auditor training. Auditors may also apply in writing to AgSafe to have relevant safety-related and/or audit-related training and education gained through other agencies applied toward their seven-hour requirement. AgSafe is under no obligation to accept any particular request but will apply consistent decision logic fairly to all auditors.

## 6.2 Large Employer Internal Auditors

### 6.2.1 Selection

The large employer COR Internal Auditor is a permanent employee of a company, who completes the auditor training for the purpose of conducting the company's internal COR maintenance audits.

A company may have multiple internal auditors if the company is sufficiently large or complex enough to support multiple auditors. This is usually limited to companies with multiple sites located around the province where travel logistics place significant hurdles or where the company's business is diverse enough that one auditor cannot have a reasonable understanding of all its activities.

Companies looking to have an internal auditor should select a candidate who has knowledge of the company and its health and safety program or health and safety activities, as well as the time and ability to prepare an audit report that is similar to the company's external auditor certification report.

To be qualified to conduct maintenance audits for their company, candidates must complete AgSafe's Large Employer Internal Auditor Training Program in year 2 of the COR audit cycle (see policy 5.3.3 for audit cycle).

To register for the Large Employer Internal Auditor Training, candidates must complete and submit a copy of the Internal Auditor Training Registration Form (see Appendix) to the COR Program Manager: [cor@agsafebc.ca](mailto:cor@agsafebc.ca). Once received, AgSafe will schedule a time for those candidates to complete the training.

## 6.2.2 Training and Certification

In order to qualify for internal auditor certification, candidates must:

- Complete AgSafe’s 16-hour Large Employer Internal Auditor Training Program, in year 2 of the COR audit cycle, including the theory and practical experience components;
- Complete and achieve a minimum passing grade of 80% on the examination;
- Conduct a student audit that passes a qualification review by AgSafe within 6 months of completing the training session;
- Sign and abide by the Auditor Code of Ethics.

Large Employer Internal auditor training is organized into a combination of two sessions totalling two days:

- Day 1 = Theory-based component (Online session)
- Day 2 = Practical experience (Classroom/in-the-field session)

The training is approximately 16 hours in length and is conducted at the employer’s workplace. It is designed to provide the student with the combined instruction and training in health and safety programs, the COR program and how to conduct, document, score, report and submit a COR maintenance audit. Following the training, each internal auditor will be required to complete a student audit to become certified.

Auditor certification is issued for the individual, rather than the company. If the person trained as a large employer internal auditor leaves the company, it is the company’s responsibility to select another employee for large employer internal auditor training. Furthermore, persons trained as large employer internal auditors are only qualified to conduct maintenance audits for the company they were employed at the time of the training.

Certification is granted with a 3-year expiry date, which occurs three years after the successful completion of the student audit. Certification may be removed at any time during this 3-year period for various performance and administrative reasons. See the “Auditor Management” section for further details. Auditors may also request that their certification be removed prior to expiry.

Detailed information regarding internal auditor training is located in the Large Employer Internal Auditor Training Manual.

### 6.2.2.1 Day 1: Theory-based Component

The theory-based component of the training occurs on the first day of training. A AgSafe trainer will conduct this portion of training at the student’s place of work and it will cover an overview of such topics as:

- Health and safety programs
- COR program
- The audit process
- Conducting, documenting, scoring and reporting a COR audit

### 6.2.2.2 Day 2: Practical Experience Component

The practical experience component of the training occurs on the second day of training. An AgSafe trainer will also conduct this portion of the training at the student's place of work and will cover the audit process in more detail. The student will then conduct a "training audit" which requires the student to conduct an audit of the documentation component, using element 4 of AgSafe's audit tool, of the employer's health and safety program.

Following completion of the "training audit", the student is required to complete an examination. The examination is effectively an audit report based on the results generated from the training audit. The audit report is not a full report, rather a smaller report that demonstrates the auditor can competently use the audit tool, evaluate the different components within the tool effectively and is capable of developing a coherent audit report. If time allows, the student may complete the examination/report during the training, however, the student does have 1 week to complete and submit the examination/report to the AgSafe trainer.

Once the audit report is received, it will be graded by the trainer and a "Student Copy" form indicating the scoring results will be sent back to the student. If the student has failed to submit the report within the week following the last day of training, or a grade of 80% or more is not achieved, a failing grade will be awarded. If a failing grade is awarded, AgSafe may allow the opportunity for a re-write.

### 6.2.2.3 Student Audit

The large employer student internal auditor is expected to complete a student audit, within 6 months following the training, on their employer's health and safety program. The student audit will not only incorporate completed sections from the training audit but will require the student to conduct a full audit, including documentation review, observations and interviews, and completion and submission of a full audit report as outlined in AgSafe's Large Employer Internal Auditor Training Manual.

All internal auditors are required to abide by AgSafe's Auditor Code of Ethics and submit a signed copy to AgSafe for retention in the auditor's file. Any breach of the Code of Ethics will be reviewed and assessed based on AgSafe's Quality Assurance Program.

The completed student audit must be submitted to AgSafe's COR Program Manager ([cor@agsafebc.ca](mailto:cor@agsafebc.ca)) where it will undergo a quality assurance review. The quality assurance process for internal auditors focuses on whether the auditor has submitted the correct paperwork, the paperwork is fully completed, and it is completed correctly. It focuses much less on spelling, grammar, style and similar non-critical issues. If successfully completed, the audit may count as a maintenance audit for a certified company but cannot be used as a certification or recertification audit.

If the student audit successfully passes AgSafe's quality assurance process, a certificate will be developed and issued to the student whereby they become certified to conduct COR maintenance audits of their employer's health and safety program.

## 6.2.3 Certification Maintenance

Under the COR Program Standards and Guidelines, internal auditors are required to perform two audits per 3-year certification cycle. It is the auditor's responsibility to complete these audits and report to AgSafe using the COR Internal Auditor Annual Auditor Declaration Form (see Appendix).

Internal auditors are also required to complete seven hours of auditor refresher/recertification training during each 3-year certification cycle. AgSafe will provide internal auditors with the opportunity to conduct refresher or top-up training that will count towards the 7-hour requirement. Check with AgSafe for dates and frequency of this training.

## 6.3 Small Employer Internal Auditors

### 6.3.1 Selection

The small employer COR Internal Auditor is a permanent employee of a company, who completes the auditor training for the purpose of conducting the company's COR certification, maintenance and recertification audits. Small employers have the option of selecting an external auditor to conduct certification and recertification audits while the internal auditor can conduct maintenance audits. The employer can also choose to have an external auditor conduct all COR audits.

A company may have multiple internal auditors if the company is sufficiently large or complex enough to support multiple auditors. This is usually limited to companies with multiple sites located around the province where travel logistics place significant hurdles or where the company's business is diverse enough that one auditor cannot have a reasonable understanding of all its activities.

Companies looking to have an internal auditor should select a candidate who has knowledge of the company and its health and safety program or health and safety activities, as well as the time and ability to prepare a full audit report.

To be qualified to conduct certification, maintenance and recertification audits for their company, candidates must complete AgSafe's Small Employer Internal Auditor Training Program.

To register for the Small Employer Internal Auditor Training, candidates must complete and submit a copy of the Internal Auditor Training Registration Form (see Appendix) to the COR Program Manager: [cor@agsafebc.ca](mailto:cor@agsafebc.ca). Once received, AgSafe will schedule a time for those candidates to complete the training. Note, that part of the training involves having one of AgSafe's RSCs/AHHSs conduct a baseline audit of the health and safety program.

### 6.3.2 Training and Certification

In order to qualify for internal auditor certification, candidates must:

- Complete AgSafe's 14-hour Small Employer Internal Auditor Training Program including the theory and practical experience components;
- Complete and achieve a minimum passing grade of 80% on the examination;
- Conduct a student audit that passes a qualification review by AgSafe within 6 months of completing the training session;
- Sign and abide by the Auditor Code of Ethics.

Small employer internal auditor training is organized into a combination of two sessions totalling two days:

- Day 1 = Theory-based component (On-line session)
- Day 2 = Practical experience component (Classroom/in-the-field session)

The training is approximately 14 hours in length and is conducted on-line and at the employer's workplace. It is designed to provide the student with the combined instruction and training in health and safety programs, the COR program, how to conduct, document, score, report and submit a COR certification, maintenance and recertification audit. Following the training, each small employer internal auditor will be required to complete a student audit to become certified.

Auditor certification is issued for the individual, rather than the company. If the person trained as a small employer internal auditor leaves the company, it is the company's responsibility to select another employee for small employer internal auditor training. Furthermore, persons trained as a small employer internal auditor are only qualified to conduct COR audits for the company they were employed at the time of the training.

Certification is granted with a 3-year expiry date, which occurs three years after the successful completion of the student audit. Certification may be removed at any time during this 3-year period for various performance and administrative reasons. See the "Auditor Management" section for further details. Auditors may also request that their certification be removed prior to expiry.

Detailed information regarding internal auditor training is located in the Small Employer Internal Auditor Training Manual.

### 6.3.2.1 Day 1: Theory-based Component

The theory-based component of the training occurs on the first day of training and will take place at the student's place of work. It is broken down into two sections. The first section will require the student auditor to shadow the AgSafe trainer while they conduct a baseline audit on the documentation component of the employer's health and safety program. This will introduce the student to the principles of auditing health and safety programs as well as to give them an idea about the level to which they are expected to conduct the audit.

The second portion of the training is more "classroom" in nature where the AgSafe trainer will cover an overview of such topics as:

- Health and safety programs
- COR program
- The audit process
- Conducting, documenting, scoring and reporting at COR audit

### 6.3.2.2 Day 2: Practical Experience Component

The practical experience component of the training occurs on the second day of training. A AgSafe trainer will also conduct this portion of the training at the student's place of work and it will cover the audit process in more detail. The student will then conduct a "training audit" which requires the student to conduct an audit of the documentation component, using the entire audit tool, of the employer's health and safety program.

Following completion of the "training audit", the student is required to complete an examination. The examination is effectively an audit report based on the results generated from the training audit. The audit report is not a full report, rather a smaller report that demonstrates the auditor can competently use the audit tool, evaluate the different components within the tool effectively and is capable of developing a coherent audit report. If time allows, the student may complete the examination/report during the training, however, the student does have 1 week to complete and submit the examination/report to the AgSafe trainer.

Once the audit report is received, it will be graded by the trainer and a "Student Copy" form indicating the scoring results will be sent back to the student. If the student has failed to submit the report with the week following the last day of training, or a grade of 80% is not achieved, a failing grade will be awarded. If a failing grade is awarded, AgSafe may allow the opportunity for a re-write.

### 6.3.2.3 Student Audit

The small employer student internal auditor is expected to complete a student audit, within 6 months following the training, of their employer's health and safety program. The student audit will not only incorporate completed sections from the training audit but will require the student to conduct a full audit, including documentation review and interviews and completion and submission of a full audit report as outlined in AgSafe's Small Employer Internal Auditor Training Manual.

All internal auditors are required to abide by AgSafe's Auditor Code of Ethics and submit a signed copy to AgSafe for retention in the auditor's file. Any breach of the Code of Ethics will be reviewed and assessed based on AgSafe's Quality Assurance Program.

The completed student audit must be submitted to AgSafe's COR Program Manager ([cor@agsafebc.ca](mailto:cor@agsafebc.ca)) where it will undergo a quality assurance review. The quality assurance process for internal auditors focuses on whether the auditor has submitted the correct paperwork, the paperwork is fully completed and is completed correctly. It focuses much less on spelling, grammar, style and similar non-critical issues. If successfully completed, the audit may count as a maintenance audit for a certified company but cannot be used as a certification or recertification audit.

If the student audit successfully passes AgSafe's quality assurance process, a certificate will be developed and issued to the student whereby they become certified to conduct COR certification, maintenance and recertification audits of their employer's health and safety program.

### 6.3.3 Certification Maintenance

Under the COR Program Standards and Guidelines, internal auditors are required to perform two audits per 3-year certification cycle. It is the auditor's responsibility to complete these audits and report to AgSafe using the COR Internal Auditor Annual Auditor Declaration Form (see Appendix).

Internal auditors are also required to complete 7 hours of auditor refresher/recertification training during each 3-year certification cycle. AgSafe will provide internal auditors with the opportunity to conduct refresher or top-up training that will count towards the 7-hour requirement. Check with AgSafe for dates and frequency of this training.

## 6.4 Auditor Management

### 6.4.1 Overview

AgSafe is responsible for overseeing and maintaining the integrity of the internal and external auditor program, which includes addressing issues around professional responsibility requirements.

The nature of the auditors' responsibilities during an audit process place high ethical demands on their conduct and business practices. In order to provide clear guidance on expected behaviour, and to maintain an ethical and cooperative integrity of the COR program, AgSafe has developed the Auditor Code of Ethics (see Appendix). The standards set forth in this document provide basic principles in auditor conduct and are the standards expected of all auditors.

The Code of Ethics, along with the AgSafe Policies and Procedures Manual, provide guidance to auditors certified under the Certificate of Recognition (COR) program. The fact that a particular conduct is not mentioned in this document does not prevent an action from being unacceptable. Therefore, an auditor or institution may be subject to disciplinary action if it is determined they have behaved in a manner that is not in keeping with the Code's standards.

### 6.4.2 Code of Conduct

The COR program 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

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

In their practice as **small employer** COR auditors, 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



### 6.4.3 Conflict of Interest

Auditors must 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 12-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 12-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
- make audit recommendations with the intent to market or to justify the purchase of additional business services from the auditor

### 6.4.4 Quality Assurance

AgSafe reviews all audits submitted toward COR audits including certification, maintenance, recertification and limited-scoped audits to ensure that the audit process continues to be accurate, timely and appropriate. If the audit is considered to be incomplete, it will be returned to the auditor with detailed notes, so it can be revised and resubmitted. Once returned to the auditor, audit revisions must be returned to AgSafe within 30 days of receipt of the audit review.

As part of its broader quality assurance function, AgSafe will:

- Review and investigate COR audits to ensure that a high level of confidence is maintained in the accuracy and timeliness of COR records
- Keep records of all quality assurance audits and share them with WorkSafeBC if requested
- Perform detailed reviews of all COR audits to ensure that the audit process meet WorkSafeBC and industry standards
- Review at least 10% of all work done by trained auditors. Any irregularities will be investigated by AgSafe who may perform additional audits and/or engage an external auditor
- Develop and adopt procedures for dealing with audit irregularities and auditor conduct
- Respond to complaints and comments
- AgSafe regional safety consultants are not permitted to conduct certification, maintenance or recertification audits

As well, AgSafe has developed Conflict of Interest Guidelines for External Auditors. This form is included in the COR Intro package and located in the Appendix section of the manual (see Appendix). The employer must complete and submit this checklist prior to commencement of a certification, recertification or limited-scope audit. If “yes” is answered in any of the checklist questions, the employer must seek a different auditor qualified to perform the task.

When a perceived conflict of interest arises, it is the responsibility of AgSafe to initially review the findings and, when applicable, meet with the Technical Advisory Committee to resolve the issue.

#### 6.4.5 Compliance and Disciplinary Measures

The Code of Ethics defines the accepted practices to which the auditor must adhere during the audit process. Violations of these practices are considered to be serious in nature and will result in swift intervention by AgSafe. Depending on the infraction, violations of the Code may result in the following sanctions:

- A formal letter advising the auditor of the violation, a restatement of the required standard, and a stipulation that this behavior does not reoccur;
- A requirement that the auditor undertake retraining;
- Suspension of the auditor's certification;
- Permanent removal of the auditor's certification.

Complaints and concerns regarding auditor performance will be reviewed by AgSafe and resolved through a progressive system of investigation and, if necessary, disciplinary action up to and including decertification of the auditor.

All sanctions against an auditor will be preceded by a full investigation. This will provide the auditor with an opportunity to present evidence or logic as to why disciplinary measures should not be applied. FARSHA is not required to apply progressive discipline in situations which are serious in nature and warrant severe penalties, up to and including permanent removal of the auditor's certification. Discipline may include a combination of sanctions, such as suspension and training requirement.

Formal letters and retraining requirements are issued at the discretion of AgSafe's COR Program Manager. Suspension and removal of certification also require the approval of AgSafe's Executive Director. In the event of an alleged breach of the Code of Ethics, auditors are expected to cooperate fully with an inquiry. Failure to cooperate is itself a violation that may be subject to disciplinary action.

When concerns regarding conflict of interest arise, they will be directed to the AgSafe office for review and investigation.

A conflict of interest could arise from the following, resulting in denying submission of an audit, non-refundable fees and suspension of auditor:

- Breach AgSafe's audit protocol
- Direct input into the employer's health and safety program development within the 12 months preceding the audit
- Financial gain or other business relationship with the employer
- Subcontractor services to the employer

Note that an auditor must not stand to gain financially through any recommendations made prior to the audit submission.

Auditors must respect the value and ownership of information they receive during an audit and may not disclose information to any third party (other than AgSafe), orally or in writing, without written permission from the employer, and unless there is a legal professional obligation to do so.

Auditors must not share, either for profit or otherwise, AgSafe audit process or program materials with others developed by or for AgSafe, without the written permission of AgSafe.

## 6.4.6 Decertification Process

Auditors may be decertified for disciplinary reasons (see Section 6.4.5) or for failing to meet administrative requirements. Decertification may be limited to AgSafe or, in serious cases, expanded to all Certifying Partners.

### 6.4.6.1 Administrative Decertification

Auditor decertification may result from failing to meet certain administrative requirements. These include:

- A failure to attend at least 7 hours of training within the 3-year certification cycle;
- A failure to submit at least 2 eligible COR audits within the 3-year certification cycle.

Auditors are responsible for maintaining their own records and staying aware of their status with respect to these requirements. The internal and external auditor annual declarations (see Appendix) are designed as an annual reconciliation of requirements between AgSafe and the auditor.

At the end of the 3-year certification cycle, AgSafe issues either a new certificate with a new 3-year expiry, or a formal letter to the auditor advising them that they have lost their certification for administrative reasons.

### 6.4.6.2 WorkSafeBC

In addition to the above-mentioned auditor discipline and decertification processes, AgSafe may apply to WorkSafeBC to have an auditor's name added to a list of decertified auditors. This list is available to all Certifying Partners in the province but is not publically accessible. WorkSafeBC controls the list and defines the standards of evidence required for auditors to have their names added. Requirements include a significant and / or repeat disciplinary infraction(s) that are fully documented, with auditors given the opportunity to appeal to AgSafe and WorkSafeBC before their name is added to the list, either temporarily or permanently.

## 6.4.7 Auditor Recertification

### 6.4.7.1 Recertification after Administrative Loss for External Auditors

Following decertification due to an administrative deficiency, external auditors may develop an individual corrective action plan in consultation with AgSafe. These plans may include:

- Specific training and or mentoring;
- A specific demonstration of theory competency;
- A student audit performance;
- A specific performance as a member of a team audit;
- A specific performance on a non-AgSafe audit.

Under no circumstances is an auditor permitted to resume external auditing after an administrative loss of certification without undertaking some training and / or completing an audit performance. Requirements will be based on actions determined appropriate to address the scope and scale of the administrative deficiency.

### 6.4.7.2 Recertification after Administrative Loss for Internal Auditors

Internal auditors, who are decertified only for failing to attend sufficient refresher training, must attend sufficient refresher training hours within one calendar year before recertification may be granted. Any auditor who does not attend sufficient training for four years must apply for internal auditor training as a new candidate and complete the entire course and student audit process again.

Internal auditors who are decertified for failing to submit sufficient audits, but who have attended sufficient training will have their next audit considered a student audit, if that audit is completed within one year of the loss of certification. Any auditor who does not submit an audit for four years must apply for internal auditor training as a new candidate and complete the entire course and student audit process again.

Internal auditors who are decertified for failing to submit sufficient audits and who have not attended sufficient training must apply for internal auditor training as a new candidate and complete the entire course and student audit process again.

### 6.4.7.3 Recertification after Disciplinary Loss or Suspension of Certification

Except in the case of permanent decertification penalties, each disciplinary sanction will include a clear and specific process the auditor may follow to regain certification. The process may include:

- Specific training, including repetition of the full auditor course;
- A full or partial student audit;
- Shadow auditing, with costs that may be borne by the auditor;
- Specific temporary or permanent performance requirements, which may be higher than the standards described in this or other manuals or procedures;
- Specific temporary or permanent interim audit reporting requirements;
- Permanent or temporary restrictions in the number or type of clients served or audits performed.

## 7. Audit Scope and Sampling

### 7.1 Application

AgSafe is one of several Certifying Partners (CP) in the province. WorkSafeBC coordinates the activities of all the CP's to help ensure fairness across industry sectors. As such, WorkSafeBC sets 'COR Standards and Guidelines' located at: [http://www.worksafebc.com/insurance/partners\\_program/default.asp](http://www.worksafebc.com/insurance/partners_program/default.asp). These rules define how all audits must be performed and administrated but allow each Certifying Partner the ability to manage the details of the process to reach desired outcomes.

In managing the details of audit processes, AgSafe will assist with determining how the audit scope and sampling apply to each employer that registers in the COR program.

### 7.2 Employer Size

Each certifying partner will receive applications from interested employers within the Classification Unit for which the certifying partner is responsible.

The employer will indicate, in the application form, whether they are a large or small employer. Delineation of small versus large employer will be based on 20 or more workers, as indicated by the self-reporting of the employer to AgSafe at the time of registration and confirmed by WorkSafeBC through reference to the employer's reported payroll.

During initial audit planning stages, AgSafe will assist employers with determining their size, based on their operations, to ensure the correct process and audit cycle is followed.

### 7.3 Accounts and Classification Units

During the registration process, employers must indicate their WorkSafeBC account numbers and CU's within each account they wish to include in the audit process.

COR incentive payments issued by WorkSafeBC are based on the reported payroll attached to each single account. The auditor must specifically identify company accounts using their full legal names, trade names (if any) and WorkSafeBC registration numbers, as well as name and number of the assigned CUs. Additionally, activities in the audit need to describe activities representative of those CUs in order to be valid.

If 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 with AgSafe to determine whether an additional certification audit is required to maintain COR certification.

During the initial audit planning stages, AgSafe will assist employers and auditors to determine the scope of the audit based on number of WorkSafeBC accounts and CUs.

## 7.4 Locations

CUs in each company have a location, or locations, defined by WorkSafeBC. These are usually the permanent BC mailing addresses of the company's operations. However, if the company has not communicated certain operational changes to WorkSafeBC, its official list of locations may not match the actual company operations.

During the initial audit planning stages, AgSafe will assist employers and auditors to determine the audit scope based on the number of operating locations for the WorkSafeBC accounts and CUs in question.

During the audit planning stage, the auditor must communicate with AgSafe to help ensure all locations are correctly identified. Additionally, auditors should note that a single location may have several sites. Each site may be required to be included in the audit.

## 7.5 Sites

For the purpose of COR audits, a "work site" will be defined as "any location where a worker is, or is likely to be, engaged in any occupation for their employer." As discussed above, a location(s) attached to a WorkSafeBC account and CU(s) may have multiple sites.

## 7.6 Site Visit Requirements

An organization's Occupational Health and Safety (OHS) and Return to Work (RTW) audits must encompass a representative sample of all operations, activities and facilities within its control where permanent, casual or temporary staff may work. It is important for auditors to note which facilities were audited in previous certification or maintenance audits, so that different locations may be audited. Additionally, the organization's head offices (or regional offices, if the head office is located out of province) are to be included in each year's audits. As part of the background information gathering process, an auditor, in close cooperation with the company, must list all locations and sites and decide which to include in the audit.

Work sites included in the audit must be representative of the overall company operations. The following criteria shall be used to determine which work sites are to be included in the scope of an audit:

- Employers that operate under multiple classification units (CUs), must ensure activities under all applicable CUs are represented in the site sampling;
- If the size of the work site or the number of employees at each site differs greatly from site to site, the work sites sampled must represent a cross section that reflects these differences;
- Sites where conditions may vary or are not consistent with the majority of sites inside the operation must be included;
- The main office / site must be included (in both certification and maintenance audits).

Taking the above criteria into consideration, the number of work sites included in the scope of the audit must also meet established minimums. If the scope of the company includes:

- 1 – 2 sites, all sites must be visited.
- 3 – 4 sites, at least 2 sites must be visited.
- 5 – 8 sites, at least 3 sites must be visited.

- 9– 30 sites, one third of the sites must be visited (all calculations must be rounded up to the nearest whole number).
- More than 30 sites, AgSafe must be consulted prior audit planning. The consultation will be a joint discussion between the auditor, the company and AgSafe. This consultation will result in the completion of an Audit Background Information form, indicating any necessary supplemental information that fully describes the intended audit activities.

When an employer’s operation includes more than nine fixed sites, all sites must be included in an audit at some point during the 3-year audit cycle.

Each site visit must consist of observations and site-specific documentation and record reviews (if the records were not already reviewed at the main office). Depending on the complexity of the company, it may not be necessary to perform interviews at all sites that are visited.

## 7.7 Seasons

Some agriculture operations are seasonal in nature. In these cases, seasonality must be taken into consideration, with the audit performed when the relevant activities are running at a minimum of 70% or “normal” operating capacity. This helps ensure that the audit is representative of how the company operates during their “normal business” times. While it is recognized that this is often the least convenient time for an audit, it is an unavoidable requirement.

## 7.8 Audit Communication

Employers and Auditors must communicate with AgSafe, prior to conducting certification and recertification audits, regarding the scope of the audit to ensure it is representative of the WorkSafeBC account(s), CU(s) and the locations and sites within.

## 7.9 Interview Requirements

The interview sample contained within the audit scope must be representative of both the size and complexity of the organization being audited. All business units and levels of the organization must be reflected in the sample.

Refer to auditor training manual for detailed interview requirements.

## 7.10 Types of Audits

Currently, AgSafe offers COR certification to large employers, defined as a business with 20 or more employees and to small employers, defined as a business with 19 or less employees.

### 7.10.1 Certification Audit

Certification audits are required in year one and year four of the COR program. Certification audits in year four are also referred to as “re-certification audits”.

To meet the minimum COR standards, each certification audit must:

- Attain 80% overall score;
- Attain a minimum of 50% in each element;
- Meet the established quality assurance standards of both AgSafe and WorkSafeBC.

Once the audit has been performed on site by an external auditor, the completed audit report must be submitted to AgSafe.

#### 7.10.1.1 Large Employer

Certification audits for large employers will be conducted using AgSafe's industry-specific large employer audit tool and will be conducted by an AgSafe-certified external auditor. External auditors must notify AgSafe of their intent to conduct an audit, by submitting the Notice of Audit Activities form two weeks prior to starting the audit. The auditor must NOT proceed with the audit without receiving plan approval from AgSafe. Proceeding without prior approval will result in auditor discipline, since it can result in an invalid audit submission to WorkSafeBC for some or all of the CUs in the company.

#### 7.10.1.2 Small Employer

Certification audits for small employers must be conducted using AgSafe's industry-specific small employer audit tool and can be conducted by an AgSafe-certified external auditor or the employer can choose to have an internal auditor conduct the audit (see section 6.3 for more information regarding internal auditor requirements). Internal auditors must notify AgSafe of their intent to conduct an audit, by submitting the Notice of Audit Activities form two weeks prior to starting the audit. The auditor must NOT proceed with the audit without receiving plan approval from AgSafe. Proceeding without prior approval will result in auditor discipline, since it can result in an invalid audit submission to WorkSafeBC for some or all of the CUs in the company.

#### 7.10.2 Maintenance Audit

Once the employer achieves COR certification, successfully completed maintenance audits are required in years two and three in order for the company to maintain its certification status. The purpose of the maintenance audit is twofold. First, to show that the company is maintaining the system originally audited by the auditor during the certification audit. Secondly, to provide an ongoing status check on the progress of recommendations made during the last certification audit. These audits may be conducted by AgSafe-certified external auditors, employees of the company who are AgSafe-certified internal auditors, or student internal or student external auditors. Audits must be completed using the AgSafe approved audit tool and meet the Quality Assurance (QA) standards set out in Section 8 of this manual. Maintenance audits must be completed within six to twelve months following the previous audit (certification or maintenance). Employers who fail to submit evidence that a maintenance audit has been successfully completed before the previous audit's 1-year anniversary date will not be eligible to receive their COR incentive payment.



### 7.10.3 Recertification Audit

The recertification audit is performed in year four of the audit cycle. It uses AgSafe's most current industry-specific large employer audit tool for large employers and small employer audit tool for small employers. It has the same requirements for success as a certification audit and must be completed by a AgSafe-certified external auditor for large employer operations and the option of a AgSafe-certified external or internal auditor for small employer operations.

Upon successful completion of the audit (whereby the company achieves an overall score of 80% or more, with no element scoring less than 50%), a new certificate is issued.

### 7.10.4 Limited Scope Audit

Certification or recertification audits achieving a total score in the range of 70% to 79% (less than 10% below the required passing mark of 80%) may qualify for a limited scope audit.

To launch a limited scope audit (LSA), AgSafe will send a letter to the audited company requesting that an action plan be developed to correct the deficient areas of their health and safety program. The action plan needs to detail which audit questions will be addressed, the previously attained score and the intended score, with sufficient point gain achieved to reach success. The company is strongly advised to include a reasonable cushion of points into their plan, since the LSA process may only be conducted once per calendar year. The action plan must be received by AgSafe within 45 calendar days of the date the employer receives the initial audit report. Upon acceptance by AgSafe, a LSA will be set up to re-evaluate the deficient areas. Where practicable, the same auditor should conduct the audit. The LSA must take place within 90 calendar days of the original audit date, with results from the new audit submitted to AgSafe within 45 calendar days of on-site data collection activities. Failure to meet any of these requirements may result in a full audit being required.

When a Certificate of Recognition is issued after the successful completion of a LSA, the date that will appear on the certificate will be the date of the original external audit. This applies even if the LSA activities occurred in a subsequent calendar year (e.g. the LSA occurs in February, following an unsuccessful December audit). Additionally, the delay caused by the LSA process may result in a delay in receiving the COR incentive payment but will not prevent an incentive payment from being issued.

## 6. Process of Performing an Audit

Regardless of the type of audit, the auditor's basic process is the same and follows a standard flow, which is essentially:

- Plan the audit with the company and AgSafe assistance;
- Go to the company and collect the required data;
- Write the report, submit it to AgSafe and complete any required revisions as requested.

Refer to the auditor training manual for more detailed information regarding the process of performing the audit.

## 7. Audit Quality Assurance

Quality assurance is a critical component of the COR program. Working independently, however in cooperation with WorkSafeBC, AgSafe is responsible for performing review and investigation activities designed to ensure that a high level of confidence is maintained in the accuracy and timeliness of COR audit results. The framework of the Quality Assurance program is set by the Certificate of Recognition Program Standards and Guidelines, developed by WorkSafeBC. Guided by this framework, AgSafe has developed two quality assurance tools that fit the particular needs of the agriculture industry.

### 9.1 Audit Report QA

AgSafe's COR staff and Program Manager will perform a detailed desktop/paper review of all COR audits including audit reports (See Appendix). The intent is to ensure that audit process deficiencies are remedied as required, so that all audits meet an acceptable standard. Auditors are given the opportunity to make any changes to their audit reports necessary to meet the requirements of the evaluation standard. Auditors are expected to resubmit their reports, with the required revisions completed, for further review within 14 days.

AgSafe will review each audit submitted for Certificate of Recognition status, to ensure it meets the required criteria. Internal maintenance audits are not required to have a passing score, but rather the audit must be completed, and an action plan developed to address all deficiencies identified during the process. Once the quality review is completed, if necessary, AgSafe may provide the auditor with feedback.

#### 9.1.1 Audit Reporting Documentation

Auditors must use the reporting documents provided by AgSafe when submitting COR audit reports. These documents are located in the Internal and External auditor training manuals and include:

- Title Page
- Executive Summary
- Audit Findings
- Appendix
  - Interview Selection Sheet
  - Pre-audit Meeting Form
  - Post-audit Meeting Form
  - Audit Tool
  - Organizational Chart
  - Interview booklets
  - Auditor Checklist

### 9.2 Audit Process QA

The second component of quality assurance deals with the on-site performance of audit activities. Not only must the audit report be technically correct, it must be a statistically valid report on company activities.

AgSafe uses three methods of quality assurance to evaluate auditor performance:

- Statistical comparison
- A shadow audit
- A Verification audit

AgSafe uses one method of quality assurance to evaluate company performance:

- WorkSafeBC Initiated Verification Audit (WIVA)

### 9.2.1 Statistical Comparison

The first method of quality assurance method on auditor activities is statistical comparison across many different audit reports. The tracked results of individual auditor evaluations of company performance, by audit element, are collected over time. Long-term patterns that may indicate the need for further investigation include, but are not limited to:

- Unusually high or low scores on average;
- Unusually high or low variances between scores for multiple companies;
- Significantly different scores from adjacent auditors on the same company.

This is an automatic and ongoing process with a formal check at least annually. No reports are issued to auditors.

A statistical anomaly would trigger shadow or verification activities and further investigation, rather than causing specific disciplinary actions.

### 9.2.2 Shadow Audit

The shadow audit is the second method of quality assurance on auditor activities. It involves a 'ride-along' with an experienced certified auditor or member of AgSafe staff, where the auditor being shadowed is performing a regular annual audit. The process is most often used as an opportunity for coaching, mentoring and discussion, rather than punitive investigation. The costs of the shadow auditor are covered by AgSafe, while the costs of the normal auditor follow normal protocols. The shadow auditor, as the name implies, is intended to be as invisible as practical during the audit process. They may attend any or all phases of the audit, from the pre-audit meeting, through data collection methods (specifically including sitting in on interviews with the permission of the interviewee) to the post-audit meeting.

#### 9.2.2.1 Selection Method

Selection methods for a shadow audit are a combination of random selection, specific requests and statistical analysis.

#### 9.2.2.2 Shadower Qualifications

The person performing the shadow audit may be a:

- COR staff member from AgSafe;
- COR staff member from another certifying partner in BC;
- Certified external auditor from another certifying partner in BC.

The shadow auditor will not be a current AgSafe external auditor, in order to reduce any perception of conflict of interest between competitive auditors.

Shadow auditors will be evaluated on their auditing skills prior to being assigned shadow duties and will be trained on the process and the shadow audit tool.

### 9.2.2.3 Shadow Audit Outcome

The shadow audit does not generate a score for the company and is not comparable to a normal audit. The auditor will receive a report on their performance during the audit listing key strengths and areas for improvement.

Depending on the outcome of the shadow audit, the auditor will be:

- Approved for continued auditing;
- Approved for continued auditing with improvement required;
- Approved for continued auditing after specific training has been completed;
- Recommended for specific training prior to completing additional auditing;
- Recommended for performance-based investigation.

In extreme cases, the audit results may be invalidated and the company and/or any other company audited by that auditor are required to undergo a new audit. AgSafe assumes no financial obligation if an audit is invalidated.

### 9.2.2.4 Shadow Audit Tool

The shadow audit tool is amended from time to time and more often than this manual. See appendix for a sample valid from February 2014 or contact AgSafe for a more recent version.

## 9.2.3 Verification Audit

The verification audit is the final method of quality assurance on auditor activities. The audit is a verification of auditor activities. It does not attempt to verify that the company has met any particular standard of legislative, regulatory or company conformance. Documentation, observation and interview activities of the verification audit are to compare against the audit report, rather than either the company program or any external requirements for performance. The verification audit occurs between one and six months after the regular annual audit of the company and typically consists of a three to 6-hour on-site visit by the verifier. For very complex companies, additional days, sites and/or verifiers may be statistically appropriate. Compared to the invisible shadow auditor, the verification auditor is an active presence on site, collecting observation, documentation and interview evidence. Interview evidence will include a brief interview with workers, supervisors and managers focussing on their interactions with the auditor and evaluating auditor performance. The costs of the verification audit (beyond the soft cost of the time that interviewees spend with the auditor) are covered entirely by AgSafe.

### 9.2.3.1 Selection Methods

Selection methods for a verification audit are a combination of random selection, specific requests and statistical analysis. Specific requests include notifications from WorkSafeBC that another Certifying Partner has decertified for cause an auditor that is shared with AgSafe and that the auditor's name has been listed with WorkSafeBC. A minimum of 10% of certified external AgSafe auditors will have their work on certification audits reviewed each year.

### 9.2.3.2 Verifier Qualification

The person performing the verification audit may be a:

- COR staff member from AgSafe;
- COR staff member from another Certifying Partner in BC;
- Certified external auditor from another certifying partner in BC.

The verification auditor will not be a current Agsafe external auditor, in order to reduce any perception of conflict of interest between competitive auditors. Verification auditors will be evaluated for their auditing skills prior to being assigned verification duties and will be trained on the process and the verification audit tool.

### 9.2.3.3 Verification Audit Outcome

The verification audit is not directly comparable to the normal audit process and does not generate a score for the company. Each question on the verification audit tool is assessed as having a positive or negative outcome. Positive outcome means auditors' performance is satisfactory, negative outcome means that auditors' performance does not meet the standard, and/or the evidence collected during verification audit does not support findings from the original audit report. The auditor will receive a report on their performance during the audit listing key strengths and areas for improvement.

Depending on the outcome of the verification audit, the auditor will be:

- Approved for continued auditing;
- Approved but additional training is required;
- Disciplinary action recommended;
- Approved but improvement required
- Further investigation pending;
- Evidence of auditor misrepresentation

In extreme cases, the audit results may be invalidated and the company and/or any other company audited by that auditor may be required to undergo a fresh audit. AgSafe assumes no financial obligation by invalidating an audit.

#### 9.2.3.4 Verification Audit Tool

The verification audit tool is amended from time to time and more often than this manual. See appendix for a sample valid from February 2016 or contact AgSafe for a more recent version.

#### 9.2.4 WorkSafeBC-Initiated Verification Audit (WIVA)

The WorkSafeBC-initiated verification audit (WIVA) is the only case where company achievement is evaluated. It is a tightly focussed audit that deals with similar concepts as the normal COR audit, but it is not directly comparable.

WorkSafeBC requests that AgSafe perform a WIVA when a certified company has WorkSafeBC orders or performance (injury or claims) inconsistent with good safety management principles. This is in addition to the regular annual audit. As with all quality assurance activities, costs of the audit are covered by AgSafe.

##### 9.2.4.1 Verifier Qualifications

The person performing the WIVA may be a:

- COR staff member from AgSafe;
- COR staff member from another certifying partner in BC;
- Certified AgSafe external auditor;
- Certified external auditor from another certifying partner in BC.

Certified AgSafe external auditors are permitted to be WIVA auditors due to the different tool and scope from a regular audit. WIVA auditors will be evaluated for their auditing skills prior to being assigned WIVA duties and will be trained on the process and the WIVA tool.

##### 9.2.4.2. WIVA Audit Tool

The WIVA tool is provided by and controlled by WorkSafeBC.

## 8. Dispute and Resolution Process

From time to time, companies, auditors, WorkSafeBC and members of the public will provide feedback to AgSafe about the COR program, incentive payments, auditors and / or certified employers. This feedback may be positive, negative or neutral. All parties have an obligation to pass this feedback on to AgSafe and AgSafe has an obligation to collect and respond to each item of feedback. The coordinator of this process will be the COR program manager, supported by AgSafe's Executive Director.

If the feedback is negative feedback about the performance or activities of a certified company or certified auditor, AgSafe will investigate further. Investigation steps may include statistical review, auditor or company quality assurance and direct evidence collection, as appropriate for the nature and severity of the alleged issue.

In the event that there is a dispute brought forth by an employer regarding the results of an audit performed by an external auditor, the matter will be resolved through a consensual process. The employer must submit a written request for a review of the audit report identifying the specific element that is being contested. As the certifying partner, AgSafe will initially review the matter brought forth by the employer and ensure the audit and report are free from clerical errors and that the auditor has applied a consistent approach to the element in question. The target time to complete this review is two weeks.

If a discrepancy remains after that, the matter will be reviewed further by AgSafe representatives who may involve other parties (a sub-committee) as required (e.g. AgSafe COR TAC Committee, WorkSafeBC, COR Working Group Committee members, legal counsel, etc.) The target time for that review is six weeks.

If the employer's complaint is validated by the sub-committee, points will be rewarded for the audit element (this does not necessarily ensure COR certification will be awarded, as all elements of the audit must receive a minimum of 50%, with a total score of over 80% achieved for the entire audit). The auditor that performed the audit will receive clarification on how to interpret the element in question in the future.

If the auditor's original decision is verified, the employer will be notified in writing with reasons for the decision and supplied with instruction on how to meet the requirements of the element. The decision of the sub-committee is final and not subject to appeal.

Feedback may be on the COR program, specifically including but not limited to:

- Auditor candidate selection;
- Auditor training;
- Auditor student evaluation;
- Student audit performance;
- Quality assurance reviews;
- Quality assurance on-site activities;
- Administrative requirements;
- Discipline issues.

If the feedback is made by an auditor candidate, then the auditor / candidate will be asked to submit a written report detailing their issue and proposed remedy. AgSafe will review the issue to determine if AgSafe COR Policies and Procedures Manual and COR Standards and Guidelines were followed. The target time for that review is two weeks. The closer that these guidance documents were followed, the less likely it is that the complainant will achieve their desired remedy. If the review is not sufficient to meet the needs of the complainant, the matter will be reviewed further by AgSafe representatives who may

involve other parties as required (e.g. AgSafe COR TAC Committee, WorkSafeBC, COR Working Group Committee members, legal counsel, etc.). The target time for that review is 6 weeks. The sub-committee will provide a final decision on the issue in writing to the complainant with supported justification. The decision of the sub-committee is not subject to appeal.

In all cases, feedback (positive, negative or neutral) will be treated as an opportunity for program improvement. The overall objective is always to find practical ways to reduce injuries and improve workplace safety in the agriculture industry in British Columbia.



## Appendix – Auditor Training Feedback Form

### **Instructions**

Striving to achieve program excellence, AgSafe is always looking for ways to improve our COR auditor training programs. Please take a moment to provide any comments or feedback following your auditor training and submit this feedback form to AgSafe’s COR Program Manager via email at: [cor@agsafebc.ca](mailto:cor@agsafebc.ca). Thank you for your participation.

The information provided in this feedback form will remain confidential.

Please indicate your impressions of the items listed below.	Strongly Agree	Agree	Disagree	Strongly Disagree
The training met my expectations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I will be able to apply the knowledge learned.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The training objectives for each topic were identified and followed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The training duration was appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The content was organized and easy to follow.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The way in which the training was conducted was appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The trainer was knowledgeable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The quality of instruction was good.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Excellent	Good	Average	Poor	Very poor
How do you rate the training overall?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

What aspects of the training could be improved?

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Other Comments?

--

## Appendix – Employer/Auditor Process Feedback Form

### Instructions

Striving to achieve program excellence, AgSafe is always looking for ways to improve our external auditor and COR processes. Please take a moment to provide any comments or feedback following your COR audit and submit this feedback form to AgSafe’s COR Program Manager via email at: [cor@agsafebc.ca](mailto:cor@agsafebc.ca). Thank you for your participation

The information provided in this feedback form will remain confidential.

Please indicate your impressions of the items listed below.	Strongly Agree	Agree	Disagree	Strongly Disagree
The certification process was simple.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The audit duration was appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The audit cost was appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The auditor was knowledgeable on audit topics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The auditor explained the process well.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The auditor conducted themselves in an appropriate manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You would recommend that other employers participate in the COR program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Excellent	Good	Average	Poor	Very poor
How do you rate the audit process overall?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

What aspects of the auditor or the audit process could be improved?

--

Other Comments?

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### **Code of Conduct**

The COR program 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

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

In their practice as **small employer** COR auditors, 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

### **Certification Maintenance**

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 AgSafe over the three-year auditor certification period to be eligible for re-approval

**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.

## **Conflict of Interest**

Auditors must 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 12-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
- make audit recommendations with the intent to market or to justify the purchase of additional business services from the auditor

## **Quality Assurance**

AgSafe reviews all audits submitted toward COR audits including certification, maintenance, recertification and limited-scoped audits to ensure that the audit process continues to be accurate, timely and appropriate. If the audit is considered to be incomplete, it will be returned to the auditor with detailed notes, so it can be revised and resubmitted. Once returned to the auditor, audit revisions must be returned to AgSafe within 30 days of receipt of the audit review.

As part of its broader quality assurance function, AgSafe will:

- Review and investigate COR audits to ensure that a high level of confidence is maintained in the accuracy and timeliness of COR records
- Keep records of all quality assurance audits and share them with WorkSafeBC if requested
- Perform detailed reviews of all COR audits to ensure that the audit process meet WorkSafeBC and industry standards
- Review at least 10% of all work done by trained auditors. Any irregularities will be investigated by AgSafe who may perform additional audits and/or engage an external auditor
- Develop and adopt procedures for dealing with audit irregularities and auditor conduct
- Respond to complaints and comments
- AgSafe regional safety consultants are not permitted to conduct certification, maintenance or recertification audits

As well, AgSafe has developed Conflict of Interest Guidelines for External Auditors. This form is included in the COR Intro package. The employer must complete and submit this checklist prior to commencement of a certification, recertification or limited-scope audit. If “yes” is answered in any of the checklist questions, the employer must seek a different auditor qualified to perform the task.

When a perceived conflict of interest arises, it is the responsibility of AgSafe to initially review the findings and, when applicable, meet with the Technical Advisory Committee to resolve the issue.

### **Compliance and Disciplinary Measures**

Complaints and concerns regarding external auditor performance will be reviewed by AgSafe and resolved through a progressive system of investigation and, if necessary, disciplinary action up to and including decertification of the auditor.

When concerns regarding conflict of interest arise, they will be directed to the AgSafe office for review and investigation.

A conflict of interest could arise from the following, resulting in denying submission of audit, non-refundable fees and suspension of auditor:

- Breach AgSafe’s audit protocol
- Direct input into the employer’s health and safety program development within the 12 months preceding the audit
- Financial gain or other business relationship with the employer
- Subcontractor services to the employer

Note that an auditor must not stand to gain financially through any recommendations made prior to the audit submission.

Auditors must respect the value and ownership of information they receive during an audit and may not disclose information to any third party (other than AgSafe), orally or in writing, without written permission from the employer, and unless there is a legal professional obligation to do so.

Auditors must not share, either for profit or otherwise, AgSafe audit process or program materials with others developed by or for AgSafe, without the written permission of AgSafe.

As a Certificate of Recognition Program auditor for AgSafe, I have read and understood this code of ethics and agree to abide by it and fulfill my obligations in the full spirit and intent of this code.

**Auditor Name (printed):** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Auditor Signature:** \_\_\_\_\_

**Company Name:** \_\_\_\_\_

## Appendix – Notice of Audit Activities

Type of Audit					
Internal Audit	<input type="checkbox"/> Certification <input type="checkbox"/> Maintenance <input type="checkbox"/> Re-certification	External Audit	<input type="checkbox"/> Certification <input type="checkbox"/> Maintenance <input type="checkbox"/> Re-certification	<input type="checkbox"/> Student Audit	<input type="checkbox"/> Base Line Audit
<b>Scope:</b> Indicate if the audit will be representative of the entire operation. Provide details.					
<b>Dates:</b>					
Estimated Audit <u>Start Date</u> (1st day of on-site activity):			Estimated Audit <u>Completion Date</u> (last day of on-site activity):		
(Note that audit on-site activity must be completed within 45 days)					
Estimated Date Report Completed:					

Company Information			
Employer size:	<input type="checkbox"/> Large (20 or more workers) <input type="checkbox"/> Small (19 or less workers)		
Company Name:			
Address:			
	City:	British Columbia	Postal Code:
WorkSafeBC Account Number(s):			
WorkSafeBC Classification Unit(s):			
Contact Name:			
Phone Number:		Fax Number:	
E-mail Address:			

Auditor Information			
Name:			
Company Name:			
Phone Number:		Fax Number:	
Email Address:			



### Audit Information

**Worksites:**

If applicable, list each worksite within the scope of the audit. Indicate the sites visited and the rationale for the sites chosen. (Attach another page if necessary.)

Worksites within Scope of Audit	Visited	
	Yes	No
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

### Interview Information

How many employees are in the organization?

How many departments / areas are in the organization?

How many interviews will be conducted?

**Attach an organizational chart or description of the organizational structure.**

**This document must be submitted at least 2 weeks before the start of any external or internal audit.**

Submit by mail:

Suite 311, 9440 – 202 Street  
Langley, BC V1M 4A6

Submit by email:

cor@agsafebc.ca

## Appendix – External Auditor Annual Declaration Form

### Instructions

Please complete this declaration by December 31st of each year, referring to activities in the previous calendar year. Please submit by email to: [cor@agsafebc.ca](mailto:cor@agsafebc.ca)

AgSafe COR Auditor Information	
First Name:	
Last Name:	
Company Name, if any	
Year of AgSafe Training	

Auditor Information	
Street:	
City:	
Province:	
Country:	
Postal Code:	
Telephone:	
E-mail:	

Professional Designations (i.e. CHRP, CRSP, B.Sc., CHSC, MBA etc.)		
Designation	Province/Country & Certifying Body	Certification/Designation Maintenance Program? (Y/N)

COR Designations		
Certifying Partner	Province/Jurisdiction	Year

Audit History		
Year	Company Audited	Audit Type

Professional Development		
Course Name	Course Provider	Duration (hours)

**Certified Auditor Affirmation:**

I, the undersigned, do hereby affirm that I read, understood, and agree to abide by the terms and conditions of the AgSafe Auditor Code of Ethics and confirm that all information provided within this form is true.

**Auditor's Name:** \_\_\_\_\_

**Auditor's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Registration Information**

Name		Title	
Company			
Company Address		City	
Province	Postal Code		Email
Company Phone Number		Company Fax Number	

Please list several preferred training dates (*Note, the training is 2-days in length*):

- 1.
- 2.
- 3.
- 4.
- 5.

Once this registration form is submitted, AgSafe will contact you to coordinate a time when training can be conducted.

Please submit this completed form to:

Submit by mail:

Suite 311, 9440 – 202 Street

Langley, BC V1M 4A6

Submit by email:

cor@agsafebc.ca

Internal Use Only

Date Received

Confirmation Sent

## Appendix – Internal Auditor Annual Declaration Form

### Instructions

Please review the COR Program Policies and Procedures Manual, in particular, the section on Certification Maintenance (6.2.3), and submit this form before the 3<sup>rd</sup> year anniversary of your internal auditor certification date by email to the COR Program Manager: [cor@agsafebc.ca](mailto:cor@agsafebc.ca)

Internal Auditor Information		
First Name:		
Last Name:		
Auditor Certification date:		
Auditor Company Name:		
	Work Information	Home Information
Address:		
Telephone:		
Email:		

Audit Information		
	Year 2 Maintenance (Y/N)	Year 3 Maintenance (Y/N)
Audits completed:		

Certification Maintenance	
	Completed COR auditor 7-hour top-up training? (Y/N)
Training completed:	

**Certified Auditor Affirmation:**

I, the undersigned, do hereby affirm that I read, understood, and agree to abide by the terms and conditions of the AgSafe Auditor Code of Ethics and confirm that all information provided within this form is true.

**Auditor's Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Auditor's Signature:** \_\_\_\_\_

## Appendix – Employer External Auditor Checklist for Conflict

1. Has there been a business or contractual relationship between your company and the auditor in the last 12 months?  YES  NO
2. Does your company have an agreement with the auditor to buy or sell labour, materials or to rent equipment?  YES  NO
3. Does your company and the auditor intermittently (i.e. without contract) buy or sell labour or materials or rent equipment?  YES  NO
4. Has the auditor assisted in the design development and/or implementation of your health and safety program?  YES  NO
5. Has the auditor been a subcontractor to your company in the last 12 months?  YES  NO
6. Are you aware of any possible gain that the auditor could realize through recommendation made during the audit?  YES  NO
7. Would the auditor stand to gain financially through recommendations made prior to the audit close-out and report submission?  YES  NO

**As the employer, if you answer yes to any of the above questions, it will be necessary to seek a different external auditor qualified to perform the audit(s).**



Company and External Auditor Information		
Company Name:		
Company Representative:		
Company Contact:	Phone:	Email:
Auditor Name:		
Auditor Company:		
Auditor Contact:	Phone:	Email:

**By signing this document, both parties agree that no conflict of interest exists between them**

**Company Representative Signature:** \_\_\_\_\_

**External Auditor Signature:** \_\_\_\_\_

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

## Appendix – LE Certification Audit Report: Desktop Quality Assurance

Company:	
WorkSafeBC Account Number:	
Auditor Name:	
AgSafe Staff Completing QA:	
Date of QA:	

Desktop Quality Assurance Checklist	
1. Review Submitted certification audit:	
1.1 Ensure all paperwork is submitted:	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Joint health & safety committee member interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Manager interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Supervisor interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Worker interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including the interview matrix and audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments ( <i>not required</i> )	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

1.2 Ensure all paperwork is complete	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Joint health & safety committee member interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Manager interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Supervisor interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Worker interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including the interview matrix and audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments <i>(not required)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
1.3 Verify that all information is accurate and correct	
Background information (page 1)	
Type of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scope of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Company information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	
Correct number of interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Correct number of supervisor/manager interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Correct number of worker interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit tool</b>	
Justifications for scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scores for interview questions accurately reflect responses from interview booklets	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
All scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scores fall within guidelines	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit analysis and recommendations</b>	
Ensure areas for improvements are completed for any non-perfect scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure recommendations are present for questions with improvements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Conclusion</b>	
Ensure top 5 key strengths are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key areas in need of improvement are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key recommendations are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit checklist</b>	
Ensure all items are checked off	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure it's signed	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>2. Ensure the audit meets the scoring criteria</b>	
Each element score is equal to or greater than 50%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
The total audit score is equal to or greater than 80%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>3. Compare certification audit to baseline audit</b> <i>(Complete if baseline audit results are available)</i>	
<b>3.1 Verify large discrepancies in scores between audits:</b>	
Compare individual element scores	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Compare overall audit scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Review action plan from baseline audit to validate large discrepancies in scores

Yes  No  N/A

Desktop quality assurance results:

- Pass
- Needs Improvement

Comments:

Large empty text area for comments.

## Appendix – LE Maintenance Audit Report: Desktop Quality Assurance

Company:	
WorkSafeBC Account Number:	
Auditor Name:	
AgSafe Staff Completing QA:	
Date of QA:	

Desktop Quality Assurance Checklist	
<b>4. Review Submitted certification audit:</b>	
1.1 Ensure all paperwork is submitted:	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Joint health & safety committee member interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Manager interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Supervisor interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Worker interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including the interview matrix and audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments ( <i>not required</i> )	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

1.2 Ensure all paperwork is complete	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Joint health & safety committee member interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Manager interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Supervisor interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Worker interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including the interview matrix and audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments <i>(not required)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
1.3 Verify that all information is accurate and correct	
Background information (page 1)	
Type of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scope of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Company information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	
Correct number of interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Correct number of supervisor/manager interviews	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Correct number of worker interviews	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
<b>Audit tool</b>			
Justifications for scores are present	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Scores for interview questions accurately reflect responses from interview booklets	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
All scores are present	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Scores fall within guidelines	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
<b>Audit analysis and recommendations</b>			
Ensure areas for improvements are completed for any non-perfect scores	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Ensure recommendations are present for questions with improvements	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
<b>Conclusion</b>			
Ensure top 5 key strengths are present	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Ensure top 5 key areas in need of improvement are present	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Ensure top 5 key recommendations are present	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
<b>Audit checklist</b>			
Ensure all items are checked off	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Ensure its signed	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
<b>5. Ensure the audit meets the scoring criteria</b>			
Each element score is equal to or greater than 50%	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
The total audit score is equal to or greater than 80%	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
<b>6. Compare maintenance audit to certification audit</b>			
<b>2.1 Verify large discrepancies in scores between audits:</b>			
Compare individual element scores	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Compare overall audit scores	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Review action plan from baseline audit to validate large discrepancies in scores	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A



7. Compare maintenance audit to certification audit	
4.1 Verify large discrepancies in scores between audits	
Compare individual element scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Compare total scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Review action plan from certification audit to validate large discrepancies in scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Desktop quality assurance results:
<input type="checkbox"/> Pass <input type="checkbox"/> Needs Improvement

Comments:

Company:	
WorkSafeBC Account Number:	
Auditor Name:	
AgSafe Staff Completing QA:	
Date of QA:	

Desktop Quality Assurance Checklist	
<b>8. Review Submitted certification audit:</b>	
1.1 Ensure all paperwork is submitted:	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Joint health & safety committee member interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Manager interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Supervisor interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Worker interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including the interview matrix and audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments ( <i>not required</i> )	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

1.2 Ensure all paperwork is complete	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Joint health & safety committee member interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Manager interview booklet (pages 1-2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Supervisor interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Worker interview booklet (pages 1-3)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including the interview matrix and audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments ( <i>not required</i> )	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
1.3 Verify that all information is accurate and correct	
Background information (page 1)	
Type of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scope of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Company information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	
Correct number of interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Correct number of supervisor/manager interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Correct number of worker interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit tool</b>	
Justifications for scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scores for interview questions accurately reflect responses from interview booklets	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
All scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scores fall within guidelines	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit analysis and recommendations</b>	
Ensure areas for improvements are completed for any non-perfect scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure recommendations are present for questions with improvements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Conclusion</b>	
Ensure top 5 key strengths are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key areas in need of improvement are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key recommendations are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit checklist</b>	
Ensure all items are checked off	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure it's signed	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>9. Ensure the audit meets the scoring criteria</b>	
Each element score is equal to or greater than 50%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
The total audit score is equal to or greater than 80%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>10. Compare student audit to certification audit</b> <i>(Complete if baseline audit results are available)</i>	
<b>3.1 Verify large discrepancies in scores between audits:</b>	
Compare individual element scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Compare overall audit scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Review action plan from baseline audit to validate large discrepancies in scores

Yes  No  N/A

**Desktop quality assurance results:**

- Pass
- Pass and counts as maintenance audit
- Needs improvement

**Comments:**

Large empty rectangular area for entering comments.

## Appendix – SE Certification Audit Report: Desktop Quality Assurance

Company:	
WorkSafeBC Account Number:	
Auditor Name:	
AgSafe Staff Completing QA:	
Date of QA:	

Desktop Quality Assurance Checklist	
<b>11. Review Submitted certification audit:</b>	
1.1 Ensure all paperwork is submitted:	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments ( <i>not required</i> )	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
1.2 Ensure all paperwork is complete	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including the audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments <i>(not required)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>1.3 Verify that all information is accurate and correct</b>	
<b>Background information (page 1)</b>	
Type of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scope of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Company information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Interview selection sheet</b>	
Correct number of interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Correct number of supervisor/manager interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Correct number of worker interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit tool</b>	
Justifications for scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scores for interview questions accurately reflect responses from interview booklets	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
All scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Scores fall within guidelines	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit analysis and recommendations</b>	
Ensure areas for improvements are completed for any non-perfect scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure recommendations are present for questions with improvements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Conclusion</b>	
Ensure top 5 key strengths are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key areas in need of improvement are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key recommendations are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit checklist</b>	
Ensure all items are checked off	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure it's signed	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>12. Ensure the audit meets the scoring criteria</b>	
Each element score is equal to or greater than 50%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
The total audit score is equal to or greater than 80%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>13. Compare certification audit to baseline audit</b> <i>(Complete if baseline audit results are available)</i>	
<b>3.1 Verify large discrepancies in scores between audits:</b>	
Compare individual element scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Compare overall audit scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Review action plan from baseline audit to validate large discrepancies in scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

<b>Desktop quality assurance results:</b>
<input type="checkbox"/> Pass
<input type="checkbox"/> Needs improvement



Comments:

Appendix – SE Maintenance Audit Report: Desktop Quality Assurance

Company:	
WorkSafeBC Account Number:	
Auditor Name:	
AgSafe Staff Completing QA:	
Date of QA:	

Desktop Quality Assurance Checklist	
<b>14. Review Submitted certification audit:</b>	
1.1 Ensure all paperwork is submitted:	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments ( <i>not required</i> )	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
1.2 Ensure all paperwork is complete	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including the audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments <i>(not required)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>1.3 Verify that all information is accurate and correct</b>	
<b>Background information (page 1)</b>	
Type of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scope of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Company information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Interview selection sheet</b>	
Correct number of interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Correct number of supervisor/manager interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Correct number of worker interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit tool</b>	
Justifications for scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scores for interview questions accurately reflect responses from interview booklets	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
All scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Scores fall within guidelines	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit analysis and recommendations</b>	
Ensure areas for improvements are completed for any non-perfect scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure recommendations are present for questions with improvements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Conclusion</b>	
Ensure top 5 key strengths are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key areas in need of improvement are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key recommendations are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit checklist</b>	
Ensure all items are checked off	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure it's signed	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>15. Ensure the audit meets the scoring criteria</b>	
Each element score is equal to or greater than 50%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
The total audit score is equal to or greater than 80%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>16. Compare maintenance audit to certification audit</b>	
<b>3.1 Verify large discrepancies in scores between audits:</b>	
Compare individual element scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Compare overall audit scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Review action plan from baseline audit to validate large discrepancies in scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

<b>Desktop quality assurance results:</b>
<input type="checkbox"/> Pass
<input type="checkbox"/> Needs improvement

Comments:

## Appendix – SE Student Audit Report: Desktop Quality Assurance

Company:	
WorkSafeBC Account Number:	
Auditor Name:	
AgSafe Staff Completing QA:	
Date of QA:	

Desktop Quality Assurance Checklist	
<b>17. Review Submitted certification audit:</b>	
1.1 Ensure all paperwork is submitted:	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments ( <i>not required</i> )	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
1.2 Ensure all paperwork is complete	
Background information (page 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Background information (page 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Organization chart/Company structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Pre-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool (including the audit scoring summary)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor comments <i>(not required)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit and analysis recommendations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Post-audit meeting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Conclusion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>1.3 Verify that all information is accurate and correct</b>	
Background information (page 1)	
Type of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scope of audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Company information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Auditor information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit information	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Interview selection sheet	
Correct number of interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Correct number of supervisor/manager interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Correct number of worker interviews	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Audit tool	
Justifications for scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scores for interview questions accurately reflect responses from interview booklets	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

All scores are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Scores fall within guidelines	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit analysis and recommendations</b>	
Ensure areas for improvements are completed for any non-perfect scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure recommendations are present for questions with improvements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Conclusion</b>	
Ensure top 5 key strengths are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key areas in need of improvement are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure top 5 key recommendations are present	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Audit checklist</b>	
Ensure all items are checked off	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Ensure it's signed	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>18. Ensure the audit meets the scoring criteria</b>	
Each element score is equal to or greater than 50%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
The total audit score is equal to or greater than 80%	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>19. Compare student audit to baseline audit</b>	
<b>3.1 Verify large discrepancies in scores between audits:</b>	
Compare individual element scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Compare overall audit scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Review action plan from baseline audit to validate large discrepancies in scores	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

<b>Desktop quality assurance results:</b>
<input type="checkbox"/> Pass
<input type="checkbox"/> Pass and counts as certification audit



Needs improvement

Comments:

Large empty rectangular area for entering comments.

## Appendix – Shadow Audit Form

Auditor Information		
Auditor Name		
Host Company		
Dates of Shadow Audit		
Date of Report		
	Auditor Information	Auditee Information
Street		
City		
Country		
Postal Code		
Telephone		
Email		

Reason for Verification Audit	
<input type="checkbox"/> New Auditor	<input type="checkbox"/> Triggered Review
<input type="checkbox"/> Random	<input type="checkbox"/> Other (Please specify)

Outcome of Shadow Audit	
<input type="checkbox"/> Approved for continued auditing	<input type="checkbox"/> Approved but improvement required
<input type="checkbox"/> Approved but training required	<input type="checkbox"/> Not approved – training required
<input type="checkbox"/> Recommend further investigation	<input type="checkbox"/> Recommend investigation of audit

## General Notes

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## Pre-audit Meeting

Knowledgeable on audit topics	
-------------------------------	--

Presents all applicable material	
----------------------------------	--

Answers questions appropriately	
---------------------------------	--

Appropriate tone and appearance	
---------------------------------	--

## Facility Orientation

Knowledgeable on audit topics	
-------------------------------	--

Identifies situations as required	
-----------------------------------	--

Asks questions appropriately	
------------------------------	--

Appropriate PPE and appearance	
--------------------------------	--

## Post-audit Meeting

Knowledgeable on audit topics	
-------------------------------	--

Appropriate degree of depth	
-----------------------------	--

Appropriate review time	
Appropriate organization skills	
<b>Interviews</b>	
Knowledgeable on audit topics	
Puts interviewee at ease	
Asks questions appropriately	
Listens more than talks	

## Appendix – Verification Audit Form

Host Company, Auditor and Verification Auditor Information	
Auditor Name	
Host Company Registration Number with WorkSafeBC	
Host Company Trade Name	
Original Audit Report Date	
Verification Audit Date	
Verification Auditor Name	
Verification Auditor Telephone	
Verification Auditor Email	

Reason for Verification Audit	
<input type="checkbox"/> New Auditor	<input type="checkbox"/> Triggered Review
<input type="checkbox"/> Random	<input type="checkbox"/> Other (Please specify)

Outcome of Verification Audit	
<input type="checkbox"/> Approved for continued auditing	<input type="checkbox"/> Approved but improvement required
<input type="checkbox"/> Approved but additional training required	<input type="checkbox"/> Further investigation pending
<input type="checkbox"/> Disciplinary action recommended	<input type="checkbox"/> Evidence of auditor misrepresentation

General Notes / Justification of the Outcome of Verification Audit

Auditor Performance on Pre-audit Meeting (Interview company host / contact)			
Question	Performance Attribute	Notes	Outcome – Positive or Negative
1	Knowledgeable on audit topics		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
2	Presents all applicable material		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
3	Answers questions appropriately		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

4	Appropriate tone and appearance		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
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Auditor Performance on Facility Orientation (Interview company host / contact)			
Question	Performance Attribute	Notes	Outcome – Positive or Negative
5	Knowledgeable on audit topics		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
6	Identifies situations as required		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
7	Answers questions appropriately		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

8	Uses appropriate PPE		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

Auditor Performance on Post-audit Meeting (Interview company host / contact)			
Question	Performance Attribute	Notes	Outcome – Positive or Negative
9	Knowledgeable on audit topics		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
10	Appropriate degree of depth		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative



11	Appropriate review time		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
12	Appropriate organizational skills		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

Auditor Performance on Interviews (Interview company host / contact, 1 manager, 1 committee member, 1 worker interviewed during original audit)			
Question	Performance Attribute	Notes	Outcome – Positive or Negative
13	Knowledgeable on audit topics		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

14	Puts interviewee at ease		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
15	Asks questions appropriately		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
16	Listens more than talks		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

Observation (Verification Auditor to Perform 30 to 120-minute Orientation Tour of Company Operations)

(Compare results with formal audit report findings for specific questions)

Question	Corresponding AgSafe LE Audit Tool Question	Findings / Notes	Comparison with Original Audit Findings:  Outcome – Positive or Negative
17	(E. 4, Q. 6) Is the correct PPE used by employees when required?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
18	(E. 2, Q. 8) Are there adequate first aid attendants, supplies and facilities?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
19	(E. 8, Q. 8) Are safety committee meeting minutes posted or made readily available to all employees?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

**Program Functionality / Documentation Review**  
 (Review documentation related to each question below and compare to original audit report findings)  
 (All following questions are documented based, with interview as an alternative if documentation not conclusive)

Question	Corresponding AgSafe LE Audit Tool Question	Findings / Notes	Comparison with Original Audit Findings:  Outcome – Positive or Negative
20	(E. 1, Q. 2) Does the health and safety policy statement include responsibilities for employers, managers, supervisors and workers?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
21	(E. 2, Q. 7) Has a first aid assessment been conducted for each workplace?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
22			

	(E. 2, Q. 10) Have site-specific emergency response procedures been developed?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
23	(E. 3, Q. 3) Does the company have a method of tracking education and training?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
24	(E. 3, Q. 7) Does the company have a formal orientation program?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

25	(E. 4, Q. 1) Have processes been developed for identifying hazards and assessing risks?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
26	(E. 4, Q. 8) Have workers who use PPE been trained?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
27	(E. 5, Q. 8) Are inspections being carried out as defined in the program?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

28	(E. 8, Q. 8) Is there a written policy or procedure for investigation of hazards, accidents and near-miss incidents?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
29	(E. 7, Q. 8) Are health and safety statistical reports generated on an ongoing basis?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative
30	(E. 8, Q. 2) Has a Joint Health and Safety Committee been established?		<input type="checkbox"/> Positive  <input type="checkbox"/> Negative

## Appendix – Employer Request for Audit Review

### **Instructions**

Complete this form if there are concerns regarding the results of an audit performed by an external auditor and submit it to the COR Program Manager: [cor@agsafebc.ca](mailto:cor@agsafebc.ca). AgSafe will review the request as soon as possible.

For more information regarding this process, refer to section 9 of the COR Policies and Procedures Manual.

Background Information	
Company Representative:	
Company Name:	
Address:	
City:	
Postal Code:	
WorkSafeBC Account Number(s):	
WorkSafeBC Classification Unit(s):	
External Auditor Name:	

Audit Information		
Audit Type:	<input type="checkbox"/> Certification <input type="checkbox"/> Recertification <input type="checkbox"/> Limited-scope	
Date(s) Audit was Completed:		
Overall Audit Score:		
Element 1 Score:	Element 2 Score:	Element 3 Score:
Element 4 Score:	Element 5 Score:	Element 6 Score:
Element 7 Score:	Element 8 Score:	



Indicate reason for requesting an audit review