COR Audit Readiness Checklist

A self audit you run on your own program before the external audit

Work through this with your own documents open in front of you. For every line, the question is not whether you have a policy that mentions the thing. It is whether you can put your hand on the evidence inside about a minute, and whether that evidence covers the full audit period rather than the last three weeks.

Mark anything you cannot produce. That list is your work plan.

> **Check this yourself.** Requirements and the naming of audit elements differ between certifying partners and between standards. Check your own certifying partner's published audit protocol and treat this as a starting point rather than their protocol.

Before you start

Company	Reviewed by
Certifying partner	Date of this review
Audit period covered (from and to)	
Scheduled external audit date, if known	

1. Management commitment and policy

Done	Check	Evidence to have ready
☐	A current health and safety policy exists, signed and dated by the most senior person in the company.	Signed policy, dated inside the audit period
☐	The policy has been reviewed within your own stated review cycle, and the review is recorded.	Review record or revision history
☐	Responsibilities are written down for every level: senior management, supervisors, workers, and contractors.	Roles and responsibilities document
☐	Workers can explain, in their own words, what management commitment looks like on their site.	Interview answers, which the auditor will collect directly
☐	Health and safety is a standing item at management meetings.	Meeting minutes across the audit period

2. Hazard identification and assessment

Done	Check	Evidence to have ready
☐	Formal hazard assessments exist for the tasks your company actually performs, not generic ones from a binder you bought.	Formal assessments naming your tasks
☐	Each formal assessment shows who took part, including workers who do the job.	Participant names on the assessment
☐	Assessments are reviewed on a stated schedule and after any significant change, and the reviews are dated.	Review dates and revision history
☐	Field level hazard assessments are completed before work starts, on the day, for the conditions.	Completed field level cards spread across the audit period

Done	Check	Evidence to have ready
☐	Field level cards reference the formal assessment they come from.	Cross reference on the card
☐	Hazards are rated in a consistent way, and the rating method is written down somewhere a worker could find it.	Risk rating method
☐	New and young workers, and workers doing unfamiliar tasks, are covered specifically.	Assessment or orientation records

3. Hazard control

Done	Check	Evidence to have ready
☐	Controls follow a hierarchy: eliminate, substitute, engineer, administer, then personal protective equipment. Personal protective equipment is not the first answer on every line.	Controls recorded on assessments
☐	Safe work practices and procedures exist for the higher risk tasks your crews perform.	Written practices and procedures
☐	Workers can find the procedure for their task without asking the office.	Interview answers, and how the documents are distributed
☐	Personal protective equipment requirements are specified by task, and there is a record that workers were trained on the equipment they use.	Requirements plus training records
☐	Where a control failed, there is a record of what changed as a result.	Revised assessment or procedure

4. Training, competency and orientation

Done	Check	Evidence to have ready
☐	Every worker has a documented orientation before starting work, and it is specific rather than a signature on a generic page.	Signed orientation records
☐	Site specific orientation happens when a worker moves to a new site.	Site orientation records
☐	A training matrix shows what each role requires and who currently holds it.	Training matrix
☐	Certificates and tickets are on file, and none of the ones in use are expired.	Certificate files with expiry dates
☐	Competency is verified, not assumed. Somebody watched the worker do the task and recorded that they were competent.	Competency assessment records
☐	Supervisors have training in their safety responsibilities, not only in the trade.	Supervisor training records

5. Inspections

Done	Check	Evidence to have ready
☐	Workplace inspections happen on a stated frequency, and the records show the stated frequency was actually met.	Inspection reports across the audit period
☐	Inspections are done by the people your program says will do them.	Names on inspection reports
☐	Deficiencies found in an inspection are assigned to a person with a due date.	Inspection reports showing assignment

Done	Check	Evidence to have ready
☐	Deficiencies are closed out, and the closure is verified rather than assumed.	Closed items with a verification signature and date
☐	Equipment pre use inspections are being completed by operators.	Pre use inspection records

6. Incident reporting and investigation

Done	Check	Evidence to have ready
☐	All incidents are reported, including near misses, and workers know that reporting a near miss is expected rather than punished.	Incident and near miss reports, plus interview answers
☐	Investigations look for causes beyond worker error. If every investigation concludes that somebody was careless, that is a finding against the program.	Investigation reports showing contributing factors
☐	Corrective actions from investigations are assigned, dated and closed.	Corrective action records
☐	Findings are communicated back to the crews, not filed.	Toolbox talk records or safety meeting minutes referencing the incident
☐	Serious incident reporting obligations to the regulator are written down and understood.	Written procedure naming who calls whom

7. Emergency preparedness

Done	Check	Evidence to have ready
☐	Emergency response plans exist for the sites and the work you actually do, including remote work.	Site specific emergency plans
☐	Emergency contacts and site access directions are current and posted where a crew can reach them.	Posted plan, current contact list
☐	Drills or exercises have been run and recorded.	Drill records with date and participants
☐	First aid coverage matches your crew size and the distance to medical help.	First aid certificates and coverage assessment
☐	Working alone or in isolation is addressed, with a check in procedure that somebody actually monitors.	Written procedure and check in records

8. Program administration and records

Done	Check	Evidence to have ready
☐	Records cover the full audit period, with no unexplained gaps of weeks or months.	Records sampled across the whole period
☐	The health and safety committee or worker representative arrangement matches what your jurisdiction requires for your size.	Committee minutes or representative records
☐	Committee minutes show issues raised, actions taken and issues closed.	Minutes across the audit period
☐	Statistics are tracked and reviewed by management, and somebody can explain what the numbers changed.	Statistics and management review records
☐	Contractors and subcontractors are evaluated, oriented and monitored, and there is a record of it.	Contractor prequalification and orientation records

Done	Check	Evidence to have ready
☐	There is an annual review of the program itself, with findings and an action plan.	Program review record

9. The questions that catch people out

- Pick a random worker and a random week. Can you produce that worker's field level hazard assessment for that week?
- Pick your most recent incident. Can you show the corrective action, who did it, when it closed, and how somebody verified it worked?
- Pick a certificate that expired during the audit period. Can you show what happened when it expired?
- Ask a supervisor to describe the refusal of unsafe work process without looking it up.
- Ask a worker what hazard assessment they did this morning, and compare the answer with the paperwork.

Your gap list

Gap found	Section	Who owns it	Due date	Done

Review sign off

Completed by

Reviewed by management

Date

Date