

PRE-AUDIT CHECKLIST FOR NSNY COR INTERNAL AUDITS



The following information must be completed and submitted to the NSNY COR Coordinator prior to an Internal Audit taking place.

Company Name:
Internal Auditor Name:
Audit due date (anniversary date):
Anticipated Audit Start Date:
Total anticipated number of staff at time of audit (including management and workers):
Total number of Managers/Supervisors:
Owner/ Senior Manager Initial to verify number of Managers/Supervisors: Initial

The **company** must ensure the following is in place prior an internal audit taking place (*Use a ✓ in the YES column an x in the NO column*):

1	Questions	Yes	No
1.1	Does your company hold valid certifications for the mandatory COR courses? See www.yukonsafety.com or contact NSNY COR Coordinator for details.		
1.2	To the best of my knowledge, I, and my company's employees, meet the minimum safety training requirements as outlined in Yukon Occupational Health and Safety legislation.		
1.3	As required of all employers, I have current Yukon Occupational Health and Safety Legislation available to all employees.		
1.4	I have established and implemented a Health and Safety Program.		
1.5	I have registered the company in the COR or SECOR program with NSNY.		
1.6	Would the audit on this work site(s) reflect what the company does throughout the year in terms of number of workers, type of work and industry codes? (Would the audit show representative sampling?)		
1.7	I am aware that if distance or travel is required by the auditor, it is my company's responsibility to cover the necessary costs of transport for the auditor to the site of his/her choice.		
1.8	Does the person carrying out the Internal Audit hold a valid Internal Auditor Training Program certificate or have they completed the Internal Auditor Training Program?		

Company Representative:

Owner/Senior Manager Signature

Printed Name

Date

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Training Verification:

COR: Please complete this table if you are undergoing a COR Internal Audit:			
Course Required:	Participant Name:	Certification Number:	Certificate Expiry Date:
Principles of Health & Safety Management			
Leadership for Safety Excellence			
WHMIS Train the Trainer <i>or</i> Basic Instructional Techniques			
Internal Auditor Training			
Basics of Return to Work			
Return to Work for Large or Small Business			

SECOR: Please complete this table if you are undergoing a SECOR Internal Audit:			
Course Required:	Participant Name:	Certification Number:	Certificate Expiry Date:
Principles of Health & Safety Management			
Leadership for Safety Excellence			
Basics of Return to Work			
Return to Work for Large or Small Business			

COR & SECOR: Company Supervisors/Managers Training Verification: The majority of Supervisors/Management (50% or more) must hold valid Leadership for Safety Excellence certifications: Please list all the supervisors currently employed by the company and confirm their training (you can attach a separate sheet if you need more room):			
Supervisor/Manager Name:	Have they taken LSE? Yes or No?	Certification Number:	Certificate Expiry Date:

Safety Committees/Representatives:

COR & SECOR: Please complete this table if you are undergoing a COR/SECOR Internal Audit:

Verify whether your company requires either a Joint Health & Safety Committee (JHSC) or a Representative by referencing the *Yukon OH&S Act, sections 12 and 13*. To determine if your workplace is hazard class A, B or C, please reference the *Yukon OH&S Regulations- Minimum First Aid Requirements*.

Committee co-chairs and/or safety representative(s) must hold a valid JHSC certificate from the NSNY.

We require (please check one):

A Safety Representative

A JHSC

No Rep/JHSC is required

Please list JHSC co-chairs/Safety Representative(s) below:

Course Required:	Participant Name(s):	Certification Number:	Certificate Expiry Date:
Joint Health & Safety Committee/Rep Training			
Joint Health & Safety Committee/Rep Training			

Notification to our clients:

In the interest of continual improvement for COR and in meeting NSNY's due diligence we have implemented a new process where NSNY will be conducting quality assurance and control verification reviews. What this means for the client is that following your audit you may be contacted by NSNY staff to submit documentation relevant to the audit or, may undergo a complete review of the audit (internal or external). The intention of the additional review is to gauge consistency in auditor scoring and process, identifying areas to improve the quality of audits and the audit tool.

For NSNY Office Use Only:

Checklist Approved: Yes No Date Approved:

By Whom:

Notes: