



# **COR™ Audit Guidelines**

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## **Disclaimer**

Users of the COR™ Audit Guidelines are responsible to ensure adherence to the most current version. As an authority having jurisdiction to grant COR™ Certification in the province of Manitoba, CSAM will utilize this Audit Guideline as our ongoing process of quality assurance of our COR™ and SECOR™ programs. Employers are responsible for the effectiveness of their own programs, policies and systems; as well as the adherence to the guidelines stated herein.



**CSAM Program Policy  
For COR™ Certification**

The Construction Safety Association of Manitoba is dedicated to providing our members throughout the province with quality information, resources, training and services. The CSAM will strive to work in the best interests of Manitoba construction related companies to provide them with effective tools to create and maintain a positive safety culture.

The Certificate of Recognition (COR™) Program is an occupational health and safety certification program for construction industry employers aimed at reducing the human and financial costs associated with workplace incidents and injuries. It may also be used as a pre-qualification requirement for contractors working in and out of province.

Designed to assist companies in the development and maintenance of a company-wide safety program, the COR™ Certification is the highest distinction available in the industry - nationally recognized as the ultimate distinction for construction companies.

The Construction Safety Association of Manitoba is the Authority Having Jurisdiction to grant COR™ Certification in the province of Manitoba for the building construction industry and associated members. In achieving this national safety program accreditation in Manitoba, CSAM practices the upmost diligence to ensure that the COR™ standards are upheld.

As a commitment to maintaining the safety & health excellence achieved through COR™ Certification, the CSAM has established Audit Guidelines designed to monitor the quality of auditor training, compliance with audit protocol and a system for corrective action and follow-up.

COR™ audit standards and protocol will be set by the CSAM. The CSAM and the CSAM Advisory Committee will approve the standards established and any revisions identified through periodic review. Amendments are communicated to member companies during our quarterly COR™ Certified companies meetings and/or through quarterly newsletters. Continuous feedback is encouraged to maintain a program that is in line with industry objectives.

The Construction Safety Association of Manitoba expects employers and employees at all levels to take an active role in the maintenance of their COR™ Certification and Program Guideline. Through this team approach to quality management, we all can make positive contributions to reduce injuries and property damage in the construction industry.

A handwritten signature in black ink, appearing to read 'S. Scott', written over a horizontal line.

Sean Scott  
CSAM Executive Director

June 12, 2011  
Date



## **CSAM COR™ Audit Guidelines Roles and Responsibilities**

### **CSAM**

- To manage the COR™ Audit Guidelines
- To design and update the Auditor Training Program
- To liaison with external auditors and employers being audited
- To promote conflict resolution relating to the audit process
- To liaison with industry, Manitoba Labour Workplace Safety and Health Division, and the Worker's Compensation Board regarding related industry issues
- To review all audits submitted for the COR™ audit process
- To maintain a COR™ information database
- To control the security and confidentiality of audit documents

### **CSAM Members and Associate Members**

- To ensure conflicts of interest are avoided
- To ensure audits are properly planned and scheduled
- To ensure all COR™ audit standards and protocol are followed for COR™ Certification
- To foster a positive audit environment by assisting and co-operating with the auditor so that audit objectives can be met
- To provide access to facilities and supporting information as requested by the auditor
- To actively participate in the COR™ audit process and maintaining COR™ training standards
- To develop and implement corrective action plans
- To provide the CSAM with feedback on the audit process to assist with continuous improvement



## **Section 1: Program Objective**

**Objective:** The Audit Guidelines are designed to ensure audits are performed in accordance with the CSAM COR™ auditing protocol and that COR™ Certified companies maintain their safety program in accordance with the CSAM COR™ auditing standards.

### **1.1 Scope**

The Audit Guidelines apply to all industry members, associate members, CSAM external auditors, CSAM staff and any person actively involved in the CSAM COR™ program.

## **Section 2: Auditor Training**

The CSAM will determine all education standards for auditor training and required maintenance of auditor training. These education standards will include but not be limited to:

- Participants having a working knowledge of health and safety program development and management
- All auditors must have taken either the Principles of Safety Management or Simplified Safety training course and completed the Safety Auditor Training course
- All auditors shall adhere to the established CSAM audit standards and protocol
- All auditors shall use the CSAM audit instrument

## **Section 3: External Auditor Training**

- All External Auditors shall be approved by the Executive Director of the CSAM and must be completely out of the scope of the program
- All COR™ Certification audits will be coordinated by the CSAM, with all audits performed using the CSAM audit instrument
- Having a working knowledge of health and safety program development and management, along with a working knowledge of the construction industry
- All auditors shall adhere to the established CSAM audit standards and protocol

The CSAM reserves the right to deny the submission of any audit for violation of any of these minimum standards and/or in the opinion of the CSAM Executive Director. Denial of an audit will forfeit the external auditor's fees and shall place him/her on suspension for a minimum of six months.



## Section 4: CSAM & External Audits

### 4.1 Eligible Employers

All employers entitled to use the audit system must have an active Manitoba WCB account within the construction industry sectors serviced by the CSAM; or they are CSAM Associate Members in good standing.

- 4.1.1** To obtain a Certificate of Recognition - each Workers' Compensation Board Account (Firm number) held by an employer must independently achieve its own COR™.

### 4.2 COR™ Certification Auditing Process

All companies must conduct a self audit to provide an assessment of the current state of their safety program and to identify specific areas where improvements to the program can be made.

COR™ Certification is valid for three years providing a company maintains their eligibility in the COR™ program; the training elements are maintained and auditing standards are maintained.

**Year 1** – The company must submit a complete and successful self-audit; pass an internal audit conducted by the CSAM and an audit conducted by a CSAM appointed external auditor.

**Year 2 & 3** – The company must submit a complete and successful self-audit by an internal "Registered Auditor" in the standard format required by CSAM (including all supporting documentation and a written report) and pass an internal audit conducted by the CSAM.

All audit results must be approved by the CSAM. Audit results may be forwarded to the Director of the Workplace Safety and Health Division for review.

### 4.3 Pre-Requisites for External Audits

Before the external audit may proceed the employer must:

- Maintain at least one full-time employee(s) with the required training.
- Implement/Establish a Safety and Health program that contains all fourteen elements as outlined by the CSAM
- Pass a self internal audit conducted by the company and also an internal audit conducted by the CSAM (each element must achieve a minimum of 50% with an overall minimum score of 80%).



#### **4.4 Safety Program Review**

When requested, CSAM staff will review an employer's Safety & Health Program for content in relation to the COR™ audit instrument. A written report and feedback detailing areas for improvement will be provided with each safety program review.

#### **4.5 Audit Request**

The employer must contact the CSAM when ready to proceed with the auditing process. At least one (1) active work site and 50% of peak workforce must be available at the time of the audit. All work sites must be revealed prior to the time of audit. It is the responsibility of the employer to schedule the audit during active work periods.

##### **4.5.1 CSAM COR™ Certification Audits (Re-Certification in year 2 & 3)**

In order to maintain COR™ Certification, employers must submit an annual self audit and successfully pass an audit/verification review by the CSAM prior to the anniversary date of their initial COR™ Certification.

As per section 4.2; 4.5 and 6.1, it is the EMPLOYER'S responsibility to ensure that a full and complete self audit is submitted by a "Registered Auditor" and to ensure active worksite(s) are available.

#### **4.6 Audit Costs**

##### **Construction Industry employers in the CSAM "400" WCB industry codes:**

The nominal fee of \$250.00 will be charged to the employer for an external audit and for the CSAM COR™ Certification Audits (year 2 & 3). The remainder of the external audit expense will be absorbed by the CSAM.

##### **Associate Members:**

The nominal fee of \$500.00 will be charged to the employer for an external audit and for the CSAM COR™ Certification Audits (year 2 & 3). The remainder of the external audit expense will be absorbed by the CSAM.

*NOTE: Distant and/or isolated worksites may also be charged mileage and/or accommodation expenses at the discretion of the Executive Director.*

##### **4.6.1 Re-Audit (minimum standard not met/achieved)**

If a company does not meet the minimum standards of an external audit, or the CSAM COR™ Certification Audit (year 2 & 3), an additional service fee of \$500.00 will be charged for second or subsequent CSAM audits, and/or the company may be charged the full amount of the second or subsequent external audits.



## **Section 5: Industry Audit Document Selection**

**Objective:** To establish guidelines for proper audit document selection and submission.

### **5.1 CSAM Audit Instrument Selection**

There is one CSAM Audit Instrument designed for the Manitoba building construction industry and Associate Members. COR™ Certification for Manitoba employers requires the completion of the CSAM COR™ Audit Instrument (National Standard).

### **5.2 Non-Industry Audit Document (COR™ Reciprocity only)**

The CSAM will recognize and accept the audit instruments of the participating members of the Canadian Federation of Construction Safety Associations for out-of-province employers wishing to obtain Manitoba COR™ Reciprocity. Additional documentation providing verification of the adherence to the Manitoba Supplement will be requested.

## **Section 6: Audit Approvals**

### **6.1 Audit Submission**

After the completion of any audit, the auditor is responsible for submitting the original audit instrument and all supporting documentation. Annual audits submitted for COR™ maintenance must be submitted by a “Registered Auditor” and include a written report detailing all areas that require improvement, along with their suggested corrective action.

Audit instruments submitted must include all supporting documentation and be organized in the format described in Safety Auditor Training (each audit section is immediately followed by supporting documentation which clearly identifies the specific question and exactly where on the document for which the auditor is awarding points).

In case of out-of-province employers applying for Manitoba COR™ Reciprocity, submission of the following is required:

- A letter requesting COR™ Reciprocity
- Confirmation from your host Construction Safety Association that your COR™ is current
- Documentation to confirm adherence to the audit instrument supplemental section (section 14) and/or as required
- Compliance Declaration

*NOTE: All supporting documentation submitted during the audit process will not be returned to the company, but will remain on file at the CSAM head office.*



### 6.1.1 Registered Auditor

Individuals who apply for Registered Auditor status must complete the CSAM Principles of Safety Management and the Safety Auditor Training courses. (Equivalent training through other members of the Canadian Federation of Construction Safety Associations will be given credit.)

#### Items Required for Submission:

- Completion of the Application for Registered Auditor
- Verification of training (Principles of Safety Management or Simplified Safety & Safety Auditor Training)
- Completion of a safety program registered company's (self) audit
- Submission of a completed audit instrument and required supporting documentation
- Submission of a written audit report outlining the company's plan for corrective action

A CSAM Registered Auditor Certificate with a 3-year expiry date will be issued upon successful evaluation and approval. Registered Auditors must submit a self audit on an annual basis in order to maintain their status.

*NOTE: A COR™ Safety Auditor Toolkit is available to assist in proper submission and organization of required documentation*

### 6.1.2 Registered Auditor - Failure to Maintain Audit Standards

COR™ Certification Audits submitted by a Registered Auditor require adherence to the standards as outlined by the CSAM and the CSAM audit instrument. Audits submitted by a Registered Auditor that do not comply with the standards will result in either of the following at the discretion of the CSAM Executive Director:

- A Registered Auditor will be given a reasonable time frame (not exceeding 1 week) to attain the minimum standards found lacking and resubmit
- A Registered Auditor will be subject to a two month suspension of their Registered Auditor status if more than one audit returned for corrective action
- A Registered Auditor status will be revoked for a minimum period of one year if a Registered Auditor has previously received a two month suspension and another one audit is returned.

## 6.2 Audit Reviews

CSAM staff will review an audit as it arrives to ensure consistent application of the expected standards. Once approved, a date received and audit submission form will be completed by CSAM staff.



### **6.3 Final Audit Review for COR™ Certification**

When the external audit meets the CSAM audit standard, the CSAM will approve the audit and request the Director of the Workplace Safety & Health Division provide endorsement. Upon endorsement, COR™ Certification will be granted by the CSAM.

### **6.4 Confidentiality**

All audit reviews, audit instruments and supporting documentation are strictly confidential and will be kept on file with the CSAM for a minimum of 3 years. These findings will not to be released to anyone, except as outlined above or as legally required.

### **6.5 COR Certification Length**

COR™ Certification is valid for a period not exceeding 3 years and must be validated annually with a Letter of Good standing which verifies the training elements and auditing standards are maintained.

The CSAM reserves the right to temporarily suspend revoke and /or limit the length of time that COR™ Certification is issued for. Furthermore the CSAM reserves the right to conduct site assessments and/or require a spot audits on COR™ Certified employers at any time to ensure that COR™ audit standards and COR™ Program standards are maintained.

When an employer has allowed their COR™ Certification to expire, it is the responsibility of that employer to re-apply.

### **6.6 Failure to Attain Minimum Audit Standards**

COR™ Certification Audits require adherence to the minimum standards as outlined by the CSAM and the CSAM audit instrument. Failure to attain any of the minimum standards will result in either of the following:

At the CSAM Executive Director's discretion, an employer will be given a reasonable time frame (not exceeding 2 weeks) to attain the minimum standards found lacking and resubmit; or

At the CSAM Executive Director's discretion, an employer will be subject to a two month suspension of their COR™ Certification and must be re-audited (section 4.6.1); or

At the CSAM Executive Director's discretion, COR™ Certification will be revoked for a minimum three months, and the company must be re-audited (section 4.6.1).



### 6.6.1 Failure to maintain COR™ Standards

The Construction Safety Association of Manitoba is the Authority Having Jurisdiction to grant COR™ Certification in the province of Manitoba for the building construction industry and associated members. In achieving this national safety program accreditation in Manitoba, CSAM practices the upmost diligence to ensure that the COR™ standards are upheld.

CSAM reserves the right to conduct COR™ site assessments and/or require a spot audits on COR™ Certified employers at any time to ensure that COR™ audit standards and COR™ Program standards are maintained.

CSAM COR™ site assessments require adherence to the minimum standards as outlined by the CSAM and the CSAM COR™ Site Assessment Form.

Upon completion of the CSAM COR™ Site Assessment, a formal letter detailing one of the following three options will be sent to the COR™ Certified company:

**No follow-up required**, site and company have demonstrated leadership in providing an excellent example of a COR™ Certified company

**Corrective action is required**, site and/or company needs minor improvements in demonstrating the expected example of a COR™ Company.

- At the CSAM Executive Director's discretion, an employer will be given a reasonable time frame (not exceeding 1 week) to provide confirmation that the corrective action is completed.

**Spot audit is required**, site and/or company require major improvements to demonstrate the expected example of a COR™ company. A new and current audit will be required to be completed by the company.

- At the CSAM Executive Director's discretion, an employer will be given a reasonable time frame (not exceeding 2 weeks) to submit a full and complete company self-audit for review and evaluation by CSAM.
- Results of CSAM's evaluation will be dealt with as a year 2 & 3 maintenance audit. If minimum standards are not verified, COR™ will be suspended and/or revoked as per section 6.6
- An additional service fee of \$500.00 will be charged for second or subsequent CSAM audits, and/or the employer will be charged the full amount of the second or subsequent external audits.



## 6.7 Out-of-Province COR™ Reciprocity

Employers that have attained an out-of-province COR™ Certification and do not have a permanent office in Manitoba may apply for reciprocity to the Construction Safety Association of Manitoba by providing:

- A letter requesting COR™ reciprocity in Manitoba
- Confirmation from your host construction safety association that your COR™ is current
- Documentation to confirm adherence to the audit instrument supplemental section (Section 14) and/or as required
- Compliance Declaration

Once the above material is received, reviewed and approved by the CSAM, a letter of reciprocity and a Manitoba COR™ Reciprocity certificate shall be issued. This certificate may be valid for the same period of time of their original provincial COR™ certificate and subject to all Audit standards of the CSAM (COR™ reciprocity shall not exceed one year).

**NOTE:** Expiry of employers out of province COR™ will result in the expiry of the related Manitoba COR™ Reciprocity. Requests for extensions must be made in writing accompanied by the requirements outlined above. When a company has allowed their COR™ to expire, it will be the responsibility of the employer to re-apply.

## Section 7: Auditor non-conformance

**Objectives:** To establish guidelines for acceptable auditor performance.

### 7.1 Conflicts of Interest

When concerns regarding conflicts of interest arise, they will be directed to CSAM for review and investigation.

A conflict of interest may arise from, but not be limited to, the following:

- a submission of an incomplete audit
- a possible breach of the CSAM Audit Protocol
- external auditor who has had direct input into the employers Safety and Health program development within the last 12 months
- financial gain or other business relationship between the employer and external auditor

The CSAM reserves the right to deny the submission of any audit for violation of any conflict of interest and/or in the opinion of the CSAM Executive Director. Denial of an audit or breach of these items will forfeit the external auditor fees and shall place him/her on suspension for a minimum of six months.



## 7.2 Appeal Process

An appeal may be launched by the suspended auditor in writing, and forwarded to the attention of the CSAM Executive Director.

### **Section 8: Employer non-conformance**

**Objective:** To establish uniform guidelines for employers.

If at any time between the formal audit processes used to maintain COR™ Certification, an employer has been found to be non-compliant with COR™ standards, the CSAM reserves the right to review; suspend or revoke an employer's COR™ standing. This may entail a:

- Spot Audit and/or Re-Audit
- Suspension of COR™ Certification
- Removal of an existing COR™ Certification

It is the responsibility of CSAM to initiate this process. The employer is responsible for any expenses incurred.

### **Section 9: System Complaints / Appeals**

**Objective:** To establish uniform guidelines that will fairly, objectively and confidentially deal with any COR™ system complaints and COR™ Audit appeals.

#### 9.1 Complaints

- **All complaints must be filed within 1 month of the occurrence.**

Complaints regarding the auditor, audit process, employer dissatisfaction, or non-conforming COR™ employer must be directed to the CSAM in writing.

Employers, employees or the public may file complaints. These complaints will be verified by investigation. Complaints that are verified will be subject to actions as stated in section 6.7 or 8 and all costs associated with the complaint may be charged to the employer if the complaint is verified.

An appeal may be launched by the affected party, in writing, and forwarded to the attention of the CSAM Executive Director.



## 9.2 COR™ Audit Appeal

- **All Audit Appeals must be filed within 2 weeks of the formal notification of audit results.**

An employer that appeals an audit evaluation must first address its concerns to the CSAM Executive Director:

- Provide a written request to the CSAM Executive Director requesting a review
- Provide written documentation supporting the reasons why the audit evaluation is being disputed and how in its opinion the employer believes that it is complying with the COR™ audit instrument and COR™ standards.

Approved audit appeals will initially be reviewed by a CSAM staff member not originally involved in the audit process of the employer.

If warranted, a final review shall be conducted by employer representative(s) of the CSAM Advisory Committee.

Recommendations of the review(s) shall be provided to the CSAM Executive Director who will provide a written response to the employer informing them of CSAM's findings.