



COR Certification Process

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TERMS OF REFERENCE/DEFINITIONS

Interview

A meeting between an auditor and selected candidates from an organization being audited in which the candidate is asked about his/her personal views on the effectiveness of the safety management system.

Jobsite Evaluation

An evaluation of an organization's compliance with corporate and regulatory requirements, using the Jobsite Evaluation checklist included with the audit protocol.

Lead Auditor

The head of the auditor team who has overall responsibility for organizing the audit team and carrying out the audit.

Letter of Transmittal

A letter addressed to the Certifying Partner describing the purpose of the audit and the type of audit.

Onsite Audit Debriefing

A meeting is conducted by the auditor in which he or she reports the preliminary audit findings to company representatives. The debriefing meeting is held at the end of the onsite activities, signaling the completion of onsite data gathering.

Policy

The documented principles by which an organization is guided in its management of affairs.

Pre-audit Meeting

The opening meeting, between the auditor and the organization, represents the beginning of the audit activities. The main purposes of the meeting are to formally introduce the audit, describe the audit process and methodology, and clarify the objectives and desired outcomes of the audit.

Quality Assurance

A set of review activities intended to ensure that the completed audit satisfies the Certifying Partner's requirement in a systematic, reliable fashion.

Reciprocity

Recognition by one of two institutions of the validity of licenses, certifications, or privileges granted by the other.

Records

Records are a form of documentation that include such items as meeting minutes, memos, bulletins, inspection reports, preventive maintenance records, hazard reports, hazard analyses, emergency response drills, training records, and accident reports. These documents provide written proof that the organization's directions (policies and procedures) are being followed.

Continuous Improvement

Always striving to innovate, implement, and improve on the current health and safety management system.

Data Analysis

Evaluating data collected through all three-validation methods with the intent to summarize and analyze findings, accurately score the audit instrument, and develop an audit report.

Directive Documents

Includes the documentation, which provides direction to the organization such as policies, procedures, and safety manuals. These documents tell the auditor how the organization expects health and safety to be managed.

Documentation

Documentation includes all of the organization's documents that relate to the safety management system, including policies, rules, standards, procedures, guidelines, practices, and records. Records include such items as meeting minutes, memos, bulletins, inspection reports, preventive maintenance records, hazard reports, hazard analyses, emergency response drills, training records, and accident reports.

Employee

Anyone who works for an organization (e.g., senior managers, managers, supervisors, and workers).

Employer Contact Person

An employee of the company appointed by the client to assist the auditor with site logistics and support.

Executive Summary

The portion of an audit report that provides a brief synopsis (summary) of all of the sections of the report.

Health and Safety Audit

A methodical process of measuring the effectiveness of a health and safety management system by evaluating each of the elements identified in a prescribed audit protocol. An evaluation of an organization's health and safety management system against an approved standard.

Health and Safety Auditor

A person, who is trained, certified and deemed competent to conduct a health and safety audit by following a prescribed audit protocol.

Health and Safety Audit Protocol

A technical specification developed with the cooperation and consensus of key stakeholders (i.e. industry, government, etc.) aimed at the promotion of optimum health and safety performance within an organization or industry.

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Reliability

The degree to which an observation can be **repeated**. The reliability of audit findings increases if they are found consistently in a variety of indicators (through documents, interviews, and observations).

Representative Sample

A sample that accurately reflects the whole company. For example, the sampling of people to interview reflects the various levels of management and employees, full or part-time workers, and those on all shifts.

Sample

A portion, piece, or segment that is representative of a whole.

Sample Size

The number of documentation items selected for review is drawn from the size of the organization's documentation.

Sampling Strategy

A method of choosing which of many items (such as documents) should be chosen for review. A good sampling strategy for documentation will enable the auditor to be confident that he or she is reviewing a sample of the company's documentation that is representative of all documentation for the company.

Validity

The degree to which an observation is **relevant** to the subject under discussion. Validity in data collection means that your findings truly represent the phenomenon you are claiming to measure.

Worker

A worker is an individual who performs work for the organization and does not have formal supervisory responsibilities. This includes individuals working on-site, off-site, or remotely, provided they are under the direction of the organization and are not responsible for directing the work of others.

Worksite Observations

Observations conducted during an audit of a worksite(s) to verify the information collected through documentation and interview phases; observations verify the application of safety management system standards, records, interviews and statements made by management, employees, and contractors.

ELEMENT 1: OBJECTIVE AND SCOPE

COR Policy Statement

The Motor Safety Association (MSA) is committed to the development, implementation and continuous improvement of health and safety management systems for the stakeholders in the designated industry rate codes in Saskatchewan. To this end, the MSA COR certification process abides with the framework established by the Saskatchewan Joint Industry Committee.

The COR Program is designed to recognize those stakeholders that have developed and implemented a functioning health and safety management system. The program requires an organization to submit their facility to and meet a prescribed standard. The audit is based on a standard for health and safety that was developed by the Joint Industry Committee (JIC) and approved by the membership. Once the audit is completed, the auditor will forward the completed documents to the Executive Director for a certificate to be issued to the organization. The certificate will remain valid for three years, at which time another external audit must be completed.

The COR Program is based on continuous improvement that also evaluates the performance of certified organizations annually. Using industry accident rates as a benchmark, the organizations will be measured to ensure their safety management system continues to deliver consistently improved results.

All MSA employees will abide by and conduct themselves by following the Auditor Code of Ethics that has been developed for the COR Program.

COR Program Auditor Code of Ethics

The Motor Safety Association is responsible for maintaining the integrity and professionalism of external auditors for the Certificate of Recognition (COR). The association has developed the following Auditor Code of Ethics to ensure that external auditors have a standard to be accountable. These include integrity, objectivity, confidentiality, and competency.

Integrity

Auditors shall:

- Perform their duties with honesty, fairness, diligence and responsibility.
- Respect and act with a dedication to the COR Program objectives and scope
- Conduct themselves without any perceived or real conflicts of interest.
- Advise the Association of any activities or actions of an auditor that may conflict with this Code of Ethics

- Never submit any report, information or judgment that is known to be false
- Never market themselves for private services while conducting an audit
- Conduct themselves within the laws of the provincial legislative body.

Objectivity

Auditors shall:

- Conduct all audits as directed using the audit tool provided by the Association.
- Conduct all audits without prejudice or bias, be they personal or professional
- Not participate in activities that may influence or impair their judgment
- Immediately disclose to the Association and the Audit Client any information that may detrimentally affect their objectivity

Confidentiality

Auditors shall:

- Maintain the confidentiality of any information they are privy to during an audit.
- Ensure that any information acquired during an audit is not used for personal or professional gain.
- Maintain, to the best of their ability, the results of any audit
- Ensure that any information gathered during interviews conducted while auditing is held confidential between the auditor and the interviewee

Competency

Auditors shall:

- Engage in services only for which they have sufficient knowledge, skills, and experience to conduct.
- Not subcontract any obligation of the audit
- Never falsely represent themselves or the Association
- Be consistent and accurate in their evaluation and ensure that they report only verified facts.
- Conduct themselves and the audit in a professional, effective and efficient manner

ELEMENT 2: AUDITOR SKILL REQUIREMENTS

To ensure that the Certification Program maintains credibility, MSA external auditors will need to meet certain requirements. At this point, only MSA employees are performing Certification Audits for members of the Motor Safety Association. MSA holds Auditors to the following guidelines:

1. Auditors may be deemed competent by the Executive Director based on Credentials and/or previous auditing experience.
2. Auditors may be subject to an interview to determine their level of knowledge and experience in the industry, auditing and safety management.
3. Junior/new employees working for MSA, with no previous auditing experience may be required to attend an Auditor training course as decided by the Executive Director. They will then be required to attend a minimum of three audits with an MSA Auditor acting as a mentor and Lead Auditor.
Once the junior / new employee attends the minimum of three audits, they must complete one audit acting as lead auditor. An approved MSA auditor will evaluate their performance based on the requirements set out in MSA's **Auditor Evaluation**. If the MSA Auditor deems them competent to perform audits on MSA's behalf, they will be allowed to perform Certification Audits. If not, an action plan must be put in place to get the junior/new employee the experience and training needed to successfully attain Auditor status.
4. Approved MSA Auditors, when acting as Lead Auditors, will be required to verify the skills of the junior/new employee during the audit training process. Using the Auditor Evaluation Checklist and knowledge of the industry, MSA Lead Auditors will guide, coach, and mentor the auditor-in-training through the entire audit process and verify their skills/deficiencies throughout the process.
5. Review of the Auditor Evaluation Checklist with the auditor-in-training will be the responsibility of the Lead Auditor. Once reviewed and signed by both parties, the Auditor Evaluation Checklist will be submitted to the Executive Director for review. The completed evaluations, once approved, will be filed by the Executive Assistant to maintain evidence of process completion.

Once all of these guidelines have been satisfactorily completed, MSA will determine whether the auditor will be accredited. MSA reserves the right to re-evaluate external auditors at any time, and/or remove accreditation.

ELEMENT 3: AUDITOR NON-CONFORMITY

Auditor non-conformity is an issue that must be addressed to ensure the COR Program External Auditors conduct themselves appropriately. MSA sees two important issues surrounding this element of the program. They are:

- Conflict of Interest
- Breach of Ethics

Conflict of Interest

All MSA External Auditors are required to complete a Conflict-of-Interest Disclosure before conducting an audit for the Association. This disclosure will be reviewed by the Association and if necessary discussed with the Audit Client to ensure the results of the The audit will be accepted as valid. An External Auditor is deemed to be in a Conflict of Interest when:

- They stand to gain either personally or financially from the results of an audit
- They have been involved with the ongoing development and/or ongoing implementation of the safety management system and are audited
- They have falsified any information on the Conflict-of-Interest Disclosure

Breach of Ethics

All External Auditors are required to adhere to the COR Program Code of Ethics. Auditors are considered to be in breach when any conduct is discovered that is contrary to the previously stated code.

Investigation

The MSA Executive Director will investigate any issues of Auditor Non-Conformity within 15 days of receiving the written non-conformity. All non-conformities will be submitted in writing (using the Complaint Form in Appendix 1.7) and supported by appropriate documentation. All documentation should be sent via registered mail to:

**Executive Director
Motor Safety Association
673 Henderson Drive
Regina, Saskatchewan
S4N 6A8**

Once the Executive Director has received the non-conformity and documentation, further communication will be performed via email or in writing within the 15 days of receipt.

Please be advised that non-conformities must be reported within 60 days of the actual occurrence.

Should evidence of the non-conformity be found, the Auditor in question shall have their auditing privileges revoked and the audit conducted while the non-conformity took place will be considered void.

If it is found that, the Audit Client or Auditee was involved or had knowledge of the non-conformity, their application to the program will be removed and they shall be unable to reapply for a period of one year. If they were unaware of non-conformity, or unable to

prevent it, MSA will schedule another audit to take place within ten working days or as schedules permit.

Appeals to the MSA Committee of Review (MSACOR)

MSA has established a Committee of Review made up of industry member representatives from around the province. The Committee is made up of industry members, half of which are required to be present at any given meeting to ensure a quorum. Any appeal to the decision must be submitted in writing along with supporting evidence to the Association within 30 days of when the audit occurred. The Association will then contact the Committee of Review, forward on the submission and set a hearing date within 60 days, if the association is not able to resolve the submission. Once the date has been set and a location has been determined, the affected parties will be contacted.

The Committee of Review must reach a majority decision, and it will be final. Any disciplinary actions handed out remain in effect until the Committee reaches their decision. Should the Committee rule against the association, all actions will be removed from the affected parties (more information in Appendix 1.1).

ELEMENT 4: AUDITEE REQUIREMENTS

For a COR Certification audit to be recognized and completed by the Motor Safety Association the auditee must have a current WCB number or subcode in either designated industry rates codes or be an associate member in good standing. The Auditee must first submit a completed COR Audit Intake Form (Appendix 1.3).

This request will include the following:

1. The complete business name of the organization making the request, including phone, WCB account number and subcode.
2. The number of workers employed at the organization, including a breakdown by location.
3. A copy of the current Safety Manual and supporting documentation if possible.
4. A statement reflecting the organization's commitment to providing adequate resources for the audit to be completed.
5. A list of all operating locations under the organization's firm number to support MSA in determining audit scope and site selection.
6. The name and contact information of the person requesting the audit on the organization's behalf (see Appendix 1.3).

Based on the information provided, MSA will determine audit scope and select locations in accordance with established sampling requirements.

Once this information has been received, reviewed, and accepted by the Association, the individual making the request will be contacted to confirm selected audit locations and proceed with audit planning.

ELEMENT 5: AUDIT TOOL SELECTION

The only audit document that will be accepted by MSA for the COR Program is the MSA COR Audit Tool. It has been chosen and developed specifically for the designated industry rate codes using the guidelines set forth by the Saskatchewan Joint Industry Committee.

ELEMENT 6: AUDIT PROCESS

Audit Initiation and Planning

The audit process is initiated through the submission of a COR Audit Intake Form (Appendix 1.3).

The Motor Safety Association will determine which companies are eligible for participation in the COR Program using their WCB account numbers.

The Executive Director or designate will review the submitted Intake Form and select audit locations based on sampling requirements (Appendix 1.4). The organization will be notified of the selected sites.

A Site Audit Request Form (Appendix 1.5) must then be completed and submitted for each selected location to support audit planning, logistics, and scheduling.

Once the Site Audit Request Forms have been received and reviewed by the Motor Safety Association, a Lead Auditor will be assigned based on experience, industry knowledge, and conflict of interest considerations.

Dates for certification audits will be set on a first-come, first-served basis.

Audit Planning

Once assigned, the Lead Auditor will develop an audit plan and forward it to the Auditee. The audit plan will include:

- The audit objectives
- The audit criteria
- The site-specific scope for each selected location, reflecting the activities, work areas, and operations relevant to that site.
- Dates and locations where on-site activities will occur
- Duration of the audit

- Responsibilities of the audit team members and representatives from the organization
- Any follow-up dates that may be required

Site Audit Request Forms are used to confirm site-specific details only and do not determine audit scope.

Audit Execution

The audit will take place beginning on the agreed date between the Lead Auditor and the Auditee.

Once the onsite activities are completed, the audit team may conduct a wrap-up meeting to summarize their findings with the organization. The wrap-up meeting is not intended to discuss the audit score or whether the organization met the COR standard.

A completed audit report will be forwarded to the organization within 14 days of the completion of the audit.

Should a follow-up meeting be desired by the organization being audited, one may be set by contacting MSA after receipt of the report.

ELEMENT 7: AUDIT SCORE

The COR Program audit has been developed to ensure that it not only measures the written content of the safety management system, but also the level of implementation.

For an organization to receive certification, it must achieve an **overall score of 80% or greater, with a minimum score of 60% in each element of the audit tool.**

ELEMENT 8: AUDIT APPROVAL

Within 7 days of completion, the certification audits are forwarded to the Executive Director or designate. The Executive Director or designate reviews the document to ensure it has been used correctly (qualitative) and the score is accurate (quantitative).

Organizations that meet the prescribed standard receive their certificate within 30 days of the completion of on-site activities.

Organizations not meeting the prescribed standard will be required to address/improve any shortfalls identified during the audit. Once shortfalls have been addressed, a limited-scope audit will be conducted on any element(s) that did not meet the standard mark of 60% per element(s) and 80% overall. If the auditee desires a limited-scope audit they are required to complete and submit a new Site Audit Request Form (Appendix 1.5) to trigger a limited-scope audit.

A limited-scope audit cannot be performed any sooner than three (3) months from the date of the original COR audit and cannot extend more than 1 year of the original COR audit. If an auditee does not meet the COR Standard within the one-year mark of the original COR audit, an entire COR audit would then need to be performed at the auditee's request.

ELEMENT 9: CERTIFICATION LENGTH

Once the certification has been received, it will be valid for three years. However, MSA reserves the right to audit a company at any time during the three years. Organizations will be given 30 days' notice before a re-audit and an explanation as to why the audit is required. Occurrences that may require an early audit include but are not limited to:

- A fatality on site
- A disabling injury
- Regulatory issues

MSA may issue a certificate with a shortened expiration due to the duration of implementation of the safety management system, recent significant changes to the organization such as mergers or acquisitions, or seasonal work.

ELEMENT 10: CERTIFICATION MAINTENANCE

Once the certification has been received by an organization, it must undertake certain activities to maintain it. The Motor Safety Association will also have responsibilities to ensure certificates are maintained. They are as follows:

MSA Responsibilities

1. Track which organizations have certification along with their expiration date.
2. Send notification to organizations 6 months before their COR Certification expiration date.
3. Issue certificates in a timely fashion.
4. Provide appropriate assistance to members with certification maintenance.
5. Provide the tools and information required by members.
6. Track legal requirements and notify members of such.
7. Maintain statistics on certified organizations.

Auditee Responsibilities

1. Inform MSA of any changes to the operation or organizational structure.
2. Inform MSA of changes for COR contacts.
3. Inform MSA of any disabling or fatal injuries.
4. Complete MSA Perception Surveys annually.

5. Submit an action plan based on the results of the perception survey by the applicable due date.
6. Continuously improve their health and safety performance.

The Motor Safety Association does not require Internal Audits for COR Maintenance. They do require COR Certified companies to perform a Perception Survey yearly – excluding the year of the External Audits (every three years).

Motor Safety Association requires a minimum of 70% of all staff per location to complete perception surveys. COR certification will be suspended in the event of less than 70% staff participation in completing perception surveys. In this event, if not corrected after 30 days COR certification is revoked and a Re-Audit is required to become COR certified.

The Perception Survey will obtain feedback from the staff on the effectiveness of the current safety program activities. The information generated by the perception survey provides both the Motor Safety Association and the certified company some insight into the effectiveness of their Safety Management System.

The perception survey is designed to generate employee involvement in the safety management system. Through the completion of the survey, employees will acknowledge safety management successes and identify opportunities for further improvement.

The online perception survey will be provided to every employee for completion. The survey statements are based on the elements of an effective safety management system as set out by the Joint Industry Committee (JIC) and adopted by the Motor Safety Association. The employees evaluate the company's level of performance from poor (strongly disagree) to excellent (strongly agree) using a five-point scale. Written comments can be provided to support their evaluation.

A Motor Safety Association staff member will tabulate the results of the Perception Surveys. The survey report will include a detailed tabular and graphical analysis of every survey statement. A performance score is provided for each element of the Perception Survey. The report will provide an interpretation of the survey results to assist the company with the development of a follow-up action plan.

Based on the results of the Perception Survey the problem areas should be identified and prioritized. After the identification and prioritization of the perceived problems, an action plan must be developed and submitted to the Motor Safety Association or the lead auditor by the assigned due date. If the action plan is not received within 30 days, COR certification will be suspended. The auditee then has 30 days thereafter to provide the action plan or their COR certification is revoked, and a Re-Audit is required to become COR certified.

The lead auditor and/or audit team members can assist the company to draft the action plan. The action plan for each company will differ depending on the results of the Perception Survey; however, the action plan should have timelines attached. The Motor Safety Association staff will provide full assistance to the companies when and if it is required.

COR CERTIFICATION WILL BE REVOKED OR SUSPENDED IF THE ABOVE RESPONSIBILITIES ARE NOT MET BY THE AUDITEES

ELEMENT 11: CHANGE NOTIFICATION

The Motor Safety Association recognizes that over time organizations evolve and change. This may affect the COR certificate that a particular organization may currently possess. For this reason, it is the responsibility of the COR certified Company to notify the MSA of any changes to:

- The scope of the operation if it significantly changes.
- Change in ownership of the organization.
- Change in company locations including mergers and acquisitions.
- Change of the business name, business address and senior management.
- Change in their WCB Account number, Rate Code, Sub Code.

This notification must be made within 90 days of the changes becoming effective.

Failure of the certified company to notify the MSA of said changes may lead to their COR Certification being revoked or suspended.

COR Certified Company Acquires a Non-COR Certified Company

In the event that a COR certified company merges with or acquires a non-COR certified company, MSA provides a pathway for the organization to maintain its existing COR certification until the current expiry date. The following requirements apply:

- A minimum of 70% of all workers within the newly merged/acquired firm number or subcode must complete certification maintenance requirements (i.e., perception surveys) within 90 days of the COR maintenance anniversary date.
- Upon expiry of the current COR certification, the newly merged/acquired locations will typically be included as part of the organization's site selection for future COR audits.

Non-COR Certified Company Acquires a COR Certified Company

In the event that a non-COR certified company acquires a COR certified company, MSA allows the existing certification to remain in place until the end of the current certification

cycle, provided the integrity of the certified system is maintained. The following requirements apply:

- The certified location must continue to maintain its health and safety management system.
- The acquiring company must continue to meet COR maintenance requirements, including the completion of perception surveys at the certified location.
- MSA will update certification records to reflect the new ownership, including updates to the company name and firm number.
- At the end of the current certification cycle, the organization will be required to complete the appropriate COR recertification audit to maintain certification.

It is strongly advised that newly merged/acquired companies participate in a baseline audit to prepare themselves for future COR audits.

ELEMENT 12: COR PROGRAM COMPLAINTS

Should any member of the Association feel that they have not been treated fairly, or have a concern about the program, they may ask to have the Motor Safety Association Committee of Review (MSACOR) convene and hear their case. The request shall be forwarded to the association in writing, along with supporting evidence. If the Executive Director cannot rectify the concern, the information will be forwarded to the MSACOR Committee members to set a date for a meeting within 30 days of receiving the complaint. All affected parties will then be notified of the date and location of the meeting. The MSACOR Committee will hear the evidence provided and forward recommendations to the Executive Director within 10 days of the meeting. Refer to Appendix 1.1 for more information.

ELEMENT 13: COR PROGRAM REVIEW

The COR Program will be evaluated by the MSACOR Committee of Review at intervals not exceeding three years. The purpose of this evaluation will be to recommend improvements to the program and the results of the review will be made available to all members. This will ensure that the MSA staff is held accountable to the industry. Once the review is complete, recommendations shall be forwarded to the Executive Director within 14 days.

ELEMENT 14: TEMPORARY CERTIFICATION

Due to the nature of the work done by the companies that MSA serves in the designated industry rate code, it has been deemed at this time that there is no demand for a Temporary Certification Process as MSA member companies are businesses in

the retail sales and service industry in Saskatchewan only. A review of this element may be undertaken as the industry demands change.

ELEMENT 15: EQUIVALENCY AND RECIPROCITY

MSA has reviewed the element for Equivalency and Reciprocity and at this time does not recognize a demand for a process to consider and accept certifications issued by other CIPs. A review of this element may be undertaken as the industry demands change.

Appendix 1.1

Motor Safety Association Committee of Review (MSACOR)

Structure of the MSACOR

- MSACOR directors shall be contacted and nominated based on submissions from the MSA staff and membership. Nominations should be based on experience with the MSA audit tool, COR certification processes, safety in general, as well as leadership skills.
- Half of all MSACOR directors is required to be present at any given meeting to ensure a quorum.
- MSA will chair the annual review meeting or an MSACOR committee member. The chairperson may, with consent from the committee, invite any additional person(s) to attend an MSACOR meeting to provide additional information and comments.
- Each MSACOR director shall serve for a term of 2 years and can serve multiple consecutive terms.

Duties of the MSACOR

- Understand the MSA COR Audit tool, COR certification process and maintenance.
- Evaluate the COR audit tool, and COR certification process and advise or recommend improvements to the program at intervals not exceeding three years.
- Conduct Appeal hearings if/when the submission is not addressed by the association or if MSA members feel they have not been treated fairly in an MSA Certificate of Recognition (COR) audit.
- Strive to meet annually to discuss the COR Audit tool and COR Certification process, discuss concerns and recommend improvements for adherence to the JIC Framework standards. Meeting intervals shall not exceed three years.
- Provide advisory recommendations to the MSA Executive Director or designate on any or all of the MSA Audit tool elements; all advisory recommendations are to be made at the MSACOR advisory meeting. The MSA Executive Director has the power to veto or accept any advisory recommendation put forth by the MSACOR.

Meetings

- The MSACOR meeting should strive to meet annually; however, the minimum requirement is to meet every three years.
- The chairperson will set a date, prepare an agenda, and forward a copy of the agenda to all MSACOR directors in advance of the meeting indicating the time and location of the MSACOR meeting.
- The presence of not less than half of MSACOR directors shall constitute a quorum and shall be necessary to conduct the business of the MSACOR.

Appeal

- Any appeal to the decision of a COR audit must be submitted in writing along with supporting evidence and documentation to the Executive Director of the MSA within 30 days of when the audit occurred.
- Association will attempt to resolve the submission internally; if not successful MSA will then contact the MSACOR, forward on the appeal submission and set a hearing date within 30 days. Once the date has been set and a location has been determined, the affected parties will be contacted.
- Each MSACOR director shall have one vote, and proxy may not do such voting. MSA staff have no voting power in an appeal.
- An MSACOR director with any interest in the appellant's business operation shall be excluded from any appeal-hearing vote and cannot participate in the appeal hearing process.
- The MSACOR must reach a majority decision for appeals, and it will be final. Any disciplinary actions handed out remain in effect until the MSACOR reaches their decision. Should the MSACOR rule against the association or audit results, all actions will be removed from the affected parties.
- The MSACOR final decision results will be communicated and disclosed to all affected parties within 10 days of the decision.

Appendix 1.2

Required Document List

*The following list outlines the documents that need to be accessed while performing an audit. There may be some documentation **not listed on this form** that may be required at the time of an audit. This form is meant to act as a guide to refer to when preparing documentation for a Baseline or COR Audit but is not exhaustive.*

1.1 Health & Safety Policy

- A signed company Safety Policy that is dated every three years by senior management.
- The Policy should state the company's commitment to safety, their goals, and philosophy on safety in the workplace.
- Workers' responsibilities should be stated in the Safety Policy for all levels of the company.
- A written Violence and Harassment policy that meets the legislative definition.
Regulation's, 3-25 Harassment and 3-26 Violence

1.2 Worker Rights

- Information regarding worker Three Rights in Saskatchewan must be included in the Safety Manual to be shared with the workers.
- A statement that addresses discriminatory action.

1.3 Responsibilities

- A statement that clearly defines the responsibilities for Management, Supervisors, Workers', and Contractors.
- Contractors' orientation and training certificates for required duties conducted on site.
- Records such as Automatic Clearance Verification (ACV), Contractor Orientation, Letters of Good Standing and Clearance Letters from WCB and a Certificate of Insurance.

1.4 Accountability

- A policy/process to hold employees accountable for their actions with accompanying documentation.

1.5 Safety Rules

- A list of safety rules that identifies potential hazards and ensures legislative compliance.

1.6 Reporting

- Documents to report or investigate, incidents/accidents, hazards, near misses and concerns to the OHC.
- A statement/documentation that shows a process for reporting to the regulators in Saskatchewan. (Reporting to Workers Compensation Board & the Ministry of Labor Relations & Workplace Safety)

1.7 Measurement

- A process to measure the organization's safety efforts that uses leading and lagging indicators.
- **Leading indicators** are typically geared toward measuring the volume of safety activities such as meetings, JHAs, training, inspections, etc.
- **Lagging indicators** are after the fact and typically include some form of counting incidents in the organization, WCB stats, injury stats, and days since the last TL injury poster.

2.1 Risk Assessment & Job Hazard Analysis

- A process to assess the risks or hazards associated with activities they undertake.
- Risk Assessments and Job Hazard Analysis for the most dangerous or high-hazard work that takes place at the worksite regularly.

2.2 Safe Work Practices & Procedures

- Safe work practices that have been developed for low-priority items or work tasks according to a risk assessment.
- Safe work procedures that have been developed for high-priority items or work tasks according to a risk assessment.
- Proof of training to show that workers have been trained in relevant practices and procedures. (orientations, safety meeting minutes, etc.)

2.3 Personal Protective Equipment (PPE)

- A policy or statement that indicates what criteria or standard is used to select PPE.
- Proof that workers have been trained on safe use and care for the PPE they use.

3.1 Training

- A Training Matrix for all positions within the company to show what training is required at the workplace.
- A plan or schedule for the completion of training at the workplace.
- Training certificates or other documentation for proof of training (Training Records, Orientation, Safety Meeting Minutes, etc.)

3.2 Orientations

- Completed new worker Orientation forms.
- Orientation checklists to indicate what topics have been covered in orientations

3.3 Meeting & Minutes

- Completed Occupational Health & Safety Meeting Minutes, signed by both Co-Chairs.
- Completed Toolbox Talk forms.
- OHC training certificates.
- A statement/policy that indicates that the OHC or the OH&S Representative will investigate, serious accidents, dangerous occurrences and work refusals.

3.4 Employess Involvement

- Documentation to show that workers are involved with the development/review of safe work practices and procedures. (Training Records, Toolbox Talk Forms, etc.)

4 Inspections

- A policy or process on workplace inspections.
- The policy or process should include the type of inspection, areas to be inspected, equipment to be inspected, a schedule for inspection completion, and assignment of personnel to conduct them.
- Inspection checklists with inspection deficiencies prioritized.

- A list of all equipment that needs to be inspected according to the manufacturer, legislated, and organization's internal requirements.

5 Investigations

- A written Investigation Policy and Reporting procedures.
- Standardized forms readily available and used (Near Miss Forms, Investigation Forms).
- Investigation training certificates for managers and supervisors

6 Emergency Response

- A Fire Safety Plan that meets the Occupational Health and Safety Regulations, Section 25-2- Fire Safety Plan.
- A completed First Aid Risk Assessment.
- A completed Emergency Drill Form.
- Procedures to deal with emergent situations like sounding alarms, evacuation, rescue, and outside resources required.

7 Return to Work

- Return-to-Work Policy/process and system with the procedures and responsibilities clearly identified for all employees.
- Job Information Work Sheet (JIW), to describe what a worker does physically on an average day.
- One JIW for each position within the company.
- A Claims Management Certificate.

8 Ergonomics

- An Ergonomic Policy.
- Proof of training or education on ergonomics (Online training courses, Ergonomic Assessments, Toolbox Talk Meeting Forms).

Section 4 – Operational Overview

Brief description of operations:

Any high-risk activities:

Seasonal or remote work considerations (if applicable):

Section 5 – Acknowledgement

By signing below, I acknowledge that:

- MSA will select audit locations based on submitted information
- Separate Site Audit Request Forms will be required for selected locations
- All selected sites must meet COR audit requirements for certification

Name:

Signature:

Date:

Appendix 1.4

Minimum Location Sampling Guide

1-2 Locations	3-5 Locations	6-10 Locations	11-15 Locations	16-19 Locations	20 + Locations
Audit	Audit Minimum	Audit Minimum	Audit Minimum	Audit Minimum	Audit Minimum
all Sites	3 Sites	5 Sites	6 Sites	8 Sites	Call MSA

Notes:

- Each selected location must submit a Site Audit Request Form (Appendix 1.5) to generate a COR Audit or a limited-scope re-audit.
- Locations to be audited will be selected in accordance with the above Minimum Location Sampling Guide (Appendix 1.4).
- At the auditor's discretion, stores with multiple locations will be cycled through three years. This will allow a greater number of locations to participate in a COR audit.
- MSA can audit more sites than the minimum location sampling suggested amount as agreed with the auditee.
- Locations that were not originally audited may be cycled into future audits.
- Locations' largest site or head office will be audited in every three-year cycle.
- Sites with three or more staff members count as one audit location.
- Sites with less than three staff members are considered an optional audit location
- All agreed to audit locations must successfully complete the COR audit to receive certification.
- All agreed sites must meet the COR standard within one calendar year of the original audit date, or first site audited to obtain certification for the entire auditee's firm number.
- Once all agreed sites have successfully met the COR standard, COR Certificates will be distributed to all Saskatchewan company worksites falling under the successful auditee's firm number.
- All sites will have the same anniversary date; this anniversary date will be the date that the last site successfully met the standard.
- All locations, whether they were audited in the last audit cycle or not, will be required to have at least 70% of their staff per location complete perception surveys to maintain COR certification.

Appendix 1.5



Site Audit Request Form

This form is to be completed only for locations selected by MSA for audit. One form is required per selected site.

Section 1 – Site Information

Business Name:

Site Name:

Address:

City / Postal Code:

Number of Employees at Site:

WCB Account Number:

Section 2 – Site Contact

Site Contact Name:

Phone Number:

Email Address:

Section 3 – Audit Logistics

Is a private room available for audit activities? Yes No

Is an escort required for observations? Yes No

Is the organization committed to providing required resources? Yes No

Required PPE:

- Steel Toe Footwear
- Safety Glasses
- Hard Hat
- FR Clothing
- Gloves
- High Visibility
- Hearing Protection
- Other:

Section 4 – Site Details

Audit scope is determined by MSA. This section/form confirms site-specific details only.

Site Overview (brief): Include type of work performed, main work areas, and notable hazards or considerations.

Appendix 1.6

Minimum Interview Sample Table

Minimum Interview Sample Table			
Total Staff Size	# Worker Interviews	#Supervisor/ Manager Interviews	Total Interviews
<5	All	All	All
5 – 10	3	2	5
11 – 25	7	3	10
26 – 50	12	3	15
51 – 75	16	4	20
76 – 100	20	5	25
101 – 125	24	6	30
126 – 150	25	7	32
151 – 200	26	8	34
201+	Call MSA	Call MSA	Call MSA

Appendix 1.7

CERTIFICATE OF RECOGNITION PROGRAM COMPLAINT FORM

This form is to be completed when an individual or organization (Informant) brings a complaint against an auditor or another individual or organization.

Complaint form needs to be received by the association within 30 days of when the audit occurred.

Complaints will be reviewed on matters specified in the COR Audit results or process. If Association is unable to rectify complaint, it can be forwarded to MSACOR for their decision.

The complaint form submission must include documentation supporting the complaint such as:

- SIGNED SUMMARY OF COMPLAINT
- DOCUMENTATION SUPPORTING THE COMPLAINT
- SIGNED WITNESS STATEMENTS
- OBSERVATIONS

All required documentation needs to be attached. Incomplete forms will be returned for further information. Any questions on this form contact the Executive Director of MSA.

Sign Complaint:	
Informant Signature:	
Print Name:	Date:

Supporting Documentation:
Include any documentation to support the complaint such as: <ul style="list-style-type: none">• SIGNED SUMMARY OF THE COMPLAINT• DOCUMENTATION SUPPORTING THE COMPLAINT• SIGNED WITNESS STATEMENT(S)• OBSERVATIONS