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## TERMS OF REFERENCE/DEFINITIONS

### **Act**

Legislation that assigns health and safety duties, and responsibilities to individuals in the province.

### **Appellant**

One that appeals from a judicial decision or decree.

### **Audit**

An evaluation, e.g., of a system, against an approved standard.

### **Audit Report**

The audit report is the written document provided to the client that provides the results of the auditor's evaluation of the client's health and safety management system against the audit protocol.

### **Auditor Notes**

Notes prepared by the auditor during the audit that explains the rationale used for determining the appropriate scoring.

### **Certificate of Recognition (COR)**

A Certificate of Recognition (COR) is awarded to employers that meet established standards for safety.

### **Certifying Partner (CP)**

A safety or other association that assumes a leadership role on behalf of an industry sector. MSA is the Certifying Partner for the C6 industry in Saskatchewan.

### **Competent**

Person who is adequately qualified, suitably trained, and with sufficient experience to safely perform work without supervision, or with only a minimal degree of supervision.

### **Confidentiality**

The nondisclosure of certain information (except to another authorized person).

### **Confirmation Letter (a.k.a. Follow-up Letter)**

A letter written by the auditor to the client confirming the particulars of the upcoming audit, as agreed to by the client and the auditor.

### **Continuous Evaluation Process**

Ongoing evaluation and re-evaluation of the impact of documentation findings on other audit DIO (documentation, interviews, observation) activities.

**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 evaluation 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 in accordance with a prescribed audit protocol.

**Health and Safety Audit Protocol**

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



### **Interview**

A meeting between auditor and selected candidates from an organization being audited in which the candidate is asked about his/her personal views about 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 type of audit.

### **Onsite Audit Debriefing**

A meeting 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 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, which 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, certification, 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.

**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, drawn from the sum total 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**

An employee supervised by a manager or supervisor/foreman.

**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 C61 and C62 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 their recommendation for a certificate to be issued to the organization. The certificate will remain valid for a period of three years, at which time another external audit must be completed.

The COR Program contains an element of continuous improvement that also evaluates the performance of certified organizations annually. Using industry accident rates as a bench mark, 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 in accordance with 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 to. These include integrity, objectivity, confidentiality, and competency.

### **Integrity**

Auditors shall:

- Perform their duties with honesty, fairness, diligence and responsibility
- Respect and act with 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 be in 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 tool provided by the Association
- Conduct all audits without prejudice or bias, be it 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

In order to ensure that the Certification Program maintains credibility, MSA external auditors will need to meet certain requirements. At this point of time, 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. MSA employees holding the title of Injury Prevention Manager are deemed competent as Auditors.
3. Auditors may be subject to an interview to determine their level of knowledge and experience of the industry, auditing and safety management.
4. 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 mentor and Lead Auditor.  
Once the junior/ new employee attends the minimum 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 Checklist**. 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.
5. Approved MSA Auditors, when acting as Lead Auditor, 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. 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 make a determination as to 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 in order 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 prior to 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 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 being 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**

Any issues of Auditor Non-Conformity will be investigated by the MSA Executive Director within 15 days of receiving the written non-conformity. All non-conformities will be submitted in writing (using the Complaint Form in Appendix 1.4) 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 non-conformity and documentation has been received by the Executive Director, further communication will be performed via email or in writing within the aforementioned 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 were 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 MSA Committee of Review (MSACOR)**

MSA has established a Committee of Review made up of member representatives from around the province. The Committee is made up of five members, three of which are required to be present at any given meeting to ensure quorum. Any appeal to the decision of the Executive Director must be submitted in writing along with supporting evidence to the Association within 30 days of the disciplinary action. The Association will then contact the Committee of Review, forward on the submission and set a hearing date within 60 days. 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 Executive Director, all actions will be removed from the affected parties. (More information in Appendix 1.2).

## ELEMENT 4: AUDITEE REQUIREMENTS

In order for a certification audit to be completed by the Motor Safety Association, the Auditee must first submit a request in writing. This request will include the following:

1. The complete business name of the organization making the request, including phone, fax and WCB account numbers.
2. The number of persons employed at the organization.
3. A copy of the current Safety Manual.
4. A statement reflecting the organizations commitment to provide adequate resources for the audit to be completed.
5. The scope of the audit (which worksites are to be audited).
6. The name and contact information of the person requesting the audit on the organization's behalf. (See Appendix 1.3)

Once this information has been received, reviewed and accepted by the Association, the individual making the request will be contacted to set a date for the audit to be completed.

## 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 specifically for the C61 & C62 industry using the guidelines set forth by the Saskatchewan Joint Industry Committee.

## ELEMENT 6: AUDIT PROCESS

The Motor Safety Association will determine which companies are eligible for participation in the COR Program using their WCB account numbers. Members within our prescribed rate code have priority; however companies outside the prescribed rate code may enroll. The Association will then choose an audit team based on the information provided by the organization, experience and knowledge within the industry, and conflict of interest guidelines. Dates for certification audits will be set on a first come, first served basis for the companies falling under the C61 and C62 rate codes.

Once the application is received and reviewed, the Lead Auditor will put together an audit plan and forward it to the Auditee. It will include:

- The audit objectives
- The audit criteria
- The audit scope including identification of which facilities or processes are to be audited. See Appendix 1.5 for Minimum Location Sampling Guide.
- Dates and places 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

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 will have a wrap up meeting to discuss their findings with the organization. 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 Audit Client, one may be set by contacting the Association 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.

In order for an organization to receive certification, they must achieve an **overall score of 80%, with a minimum 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. The Executive Director or designate reviews the document to ensure it has been used correctly (qualitative) and the score is accurate (quantitative).

Organizations who 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.

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 or 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 certification has been received, it will be valid for a period of three years. However, MSA reserves the right to audit a company at any time during the three year period. Organizations will be given 30 days' notice prior to 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 certification has been received by an organization, they 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 prior to their expiration.
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.

### ***Audit Client 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 a Perception Survey annually.
5. Submit an action plan based on the results of the perception survey annually.
6. Continuously improve their health and safety performance.

Any disabling or fatal injury will require an immediate investigation by the certified organization. This investigation, complete with corrective actions must be forwarded to the Association for review by the Executive Director. This information will be used to determine whether another certification audit will be conducted. Orders that are issued by regulatory bodies will require notification to the Association also. They must be accompanied by an action plan for the removal of the contravention.

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

Motor Safety Association requires a minimum of 70% of all staff to complete perception surveys. COR certification will be suspended in the event of less than 70% staff participation of 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 survey provides both the Motor Safety Association and the certified company some insight into the effectiveness of their Safety Management System.



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

The online survey questionnaire can be provided to every employee for completion. The survey questions are based on the 7 elements of an effective safety system as set out by the Joint Industry Committee 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 detailed tabular and graphical analysis of every survey question. A performance score is provided for each element of the Perception Survey as well as an overall performance rating. 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 within 30 days by the auditee. 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 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 have an effect on the certificate that a particular organization may possess. For this reason, it is the responsibility of the Certified Company to notify the Association of any changes to:

- The scope of the operation, or significant changes
- Change in ownership of the organization
- Change of the business name, business address and senior management
- Change in their WCB Account number and/or Rate Code

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

***Failure of the Certified company to notify the Association of said changes may lead to their COR Certification being revoked or suspended.***

## 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 Executive Director in writing, along with supporting evidence. If the Executive Director cannot rectify the concern, the information will be forwarded to the Committee members to set a date for meeting within 30 days of receiving the complaint. All affected parties will then be notified of the date and location of the meeting. The Committee will hear the evidence provided and forward recommendations to the Executive Director within 10 days of the meeting. Refer to Appendix 1.2 for more information.

## TERMS OF REFERENCE/DEFINITIONS

The COR Program will be evaluated by the 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 rate codes of C61 and C62, 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 CIP's. A review of this element may be undertaken as the industry demands change.

## Appendix 1.1

### Document List

The following list outlines the documents that need to be accessed while performing an audit or gap analysis. There are some documents, if possible and time permits, that can be provided to the auditor/inspector prior to arriving at the site. The balance may be requested during the performance of the audit / gap analysis.

#### **Pre-arrival documents:**

- Copy of the organization's safety manual / policy
- Copy of documents provided to new hires (i.e. Employee Handbooks, etc.)
- Copy of any Return to Work / Accident Kit forms sent with injured employees when they access medical aid

#### **On-site documents:**

The number of each specific document required will change due to the size of the organization, complexity, etc. The auditors will ensure that documents are returned in the condition they were received.

- completed employee orientation checklists and evidence of annual review of orientation
- accident / incident investigation forms
- inspection records (daily / pre shift equipment, supervisor, OHC, worksite)
- OHC meeting minutes
- tool box meeting minutes
- safe work practices
- safe work procedures
- records of safety management system measurement
- records of accountability actions (discipline and/or commendation)
- copies of core competencies/job descriptions and training requirements for each position
- training records for all employees
- risk assessments / job hazard assessments
- copies of inspections/ reports /notices of contravention from the OH&S Division of MLRWS
- proof of upper management review of safety records and activities( signed documents)
- list of modified duties including physical demands / Job Information Worksheets (JIW)
- maintenance records
- records of emergency and drills
- copies of hygiene (sound, air quality, etc.) assessments
- Corporate hierarchy (names, positions, etc.)
- WCB stats and information
- RTW Forms and records

## **Appendix 1.2**

### **Motor Safety Association Committee of Review (MSACOR)**

#### **Structure of the MSACOR**

- MSACOR directors shall be nominated based on submissions from the MSA nomination committee. Nominations should be based on experience with the MSA audit tool, COR certification processes, safety in general, as well as leadership skills.
- MSACOR Directors shall be made up of five directors, three of which are required to be present at any given meeting to ensure quorum. MSACOR Directors shall consist of a Chairperson, Alternate Chairperson, Secretary, and Two directors.
- A chairperson may, with the consent from the committee, invite any additional person(s) to attend a MSACOR meeting to provide additional information and comments.
- Each MSACOR director shall serve for a term of 2 years and can serve up to three consecutive terms.

#### **Duties of the MSACOR**

- Understand the MSA COR Audit tool and COR certification process.
- Evaluate the COR audit tool, COR certification process and recommend improvements to the program at intervals not exceeding three years.
- Conduct Appeal hearings if/when MSA members feel they have not been treated fairly in a MSA Certificate of Recognition (COR) audit.
- Meet annually to discuss COR Audit tool and COR Certification process, discuss concerns and recommend improvements for adherence to the JIC Framework standards.
- Provide recommendations to the MSA Executive Director on any or all of the MSA Audit tool elements; all recommendations are to be made in writing and there must be consensus from the MSACOR. The MSA Executive Director has the power to veto or accept any recommendation put forth by the MSACOR.
- The MSACOR must reach a majority decision on any recommendations for improvement they want put forth. Once the review is complete, recommendations shall be forwarded to the MSA Executive Director within 10 days, by the MSACOR.

## **Meetings**

- The annual MSACOR meeting shall occur in the first quarter each and every year.
- The chairperson will 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 three 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.
- 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 such voting may not be done by proxy.
- An MSACOR director with any interest in the appellant's business operation shall be excluded from any appeal hearing vote but can participate in the appeal hearing to present evidence.
- The MSA COR must reach a majority decision, and it will be final. Any disciplinary actions handed out remains in effect until the MSACOR reaches their decision. Should the MSACOR rule against the Executive Director, 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.



## CONTACT INFORMATION

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Person requesting audit: \_\_\_\_\_

Phone: \_\_\_\_\_

email: \_\_\_\_\_

## AUDIT SCOPE

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Which facility/area is to be audited? \_\_\_\_\_

Is a copy of current Safety Management System Manual included?

Yes \_\_\_\_\_ No \_\_\_\_\_

Is your organization committed to provide ALL resources required to complete the audit in a timely fashion?

Yes \_\_\_\_\_ No \_\_\_\_\_

Is an escort required for the Audit Team while performing observations on the work floor?

Yes \_\_\_\_\_ No \_\_\_\_\_

What Personal Protective Equipment is Required?

Steel Toe Shoe/ Boots \_\_\_\_\_ Safety glasses \_\_\_\_\_ Bump cap/Hardhat \_\_\_\_\_

Fire resistant clothing/coveralls \_\_\_\_\_ Safety Glove \_\_\_\_\_

Hearing Protection \_\_\_\_\_ Other \_\_\_\_\_



**Appendix 1.4**

# **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.

Complaints will be reviewed on matters specified in the MSA COR Process Manual.

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 question on this form contact the Executive Director of MSA.





## COR PROGRAM

### COMPLAINT FORM

Phone: 306-721-0688

Facsimile: 306-790-1098

Email: [mcobb@motorsafety.ca](mailto:mcobb@motorsafety.ca)


<b>Sign Complaint:</b>	
Informant Signature:	
Print Name:	Date:

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

## Appendix 1.5

### Minimum Location Sampling Guide

1-2 Locations	3-5 Locations	6-10 Locations	11-15 Locations	16-19 Locations	20 + Locations
Audit all Sites	Audit Minimum 3 Sites	Audit Minimum 5 Sites	Audit Minimum 6 Sites	Audit Minimum 8 Sites	Audit Minimum 10 Sites
100% Sample	60%-100% Sample	50%-83% Sample	40%-55% Sample	42%-50% Sample	50% + Sample

**Notes:**

- Each location must submit a separate Audit Request (Appendix 1.3) to generate an Audit.
- Locations to be audited will be selected using (Appendix 1.5) at the auditors discretion considering logistics.
- At the auditors discretion stores with multiple locations will be cycled through a three year period. This will allow a greater number of locations to participate in a COR audit.
- MSA can audit more sites then the minimum location sampling suggested amount as agreed with auditee.
- Locations that were not originally audited may be cycled into future audits.
- Locations largest site or head office will be audited 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 original audit or first site audited.
- Once all agreed sites have successfully met the COR standard, COR Certificates will be distributed to all Saskatchewan worksites falling under the successful auditee's firm number.
- All sites will have the same anniversary date, this anniversary date will be the same date as the last site that successfully met the standard.