



# Small Employer Certificate of Recognition (SECOR) Program

## Policies and Procedures Manual

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# ACKNOWLEDGEMENTS

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go2HR would like to thank the members of our SECOR Technical Advisory Committee for their contributions and advice during the development of our program. We would also like to extend our sincere appreciation to WorkSafeBC. Their support has helped us develop our program and provide the tourism and hospitality sectors with resources to improve their health and safety programs.

# DISCLAIMER

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Although the information in this document is intended for general use, it may not apply to all circumstances. It does not cover all aspects of existing legislation and regulations and does not relieve individuals using this document from their responsibilities as prescribed under applicable legislation and regulations. go2HR does not guarantee the accuracy of or assume liability for the information presented here.

# CERTIFYING PARTNER

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In 2006, WorkSafeBC approached go2HR to take on the role of Health & Safety Association and Certificate of Recognition (COR) certifying partner (CP) for the tourism, hospitality and food and beverage industry. After considerable consultation, five major industry associations endorsed this concept and signed letters of support for go2HR to take on this role on behalf of the industry. The five associations are the BC Hotel Association, Restaurants Canada, BC Restaurant and Food Services Association, Canada West Ski Areas Association and the Alliance of Beverage Licensees.

go2HR signed a contract with WorkSafeBC in January 2009 and created an Industry Health and Safety Program to develop and execute a plan to deliver services. Since 2009, go2HR has implemented the Health and Safety Association and the COR Certifying Partner work by developing an internal team dedicated to these initiatives, with support and oversight from go2HR as a whole.

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# 1. OVERVIEW OF THE SECOR PROGRAM

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The COR program is a nationally recognized audit, certification and incentive program that rewards employers who go beyond the legal requirements of the Workers Compensation Act and the Occupational Health and Safety (OHS) Regulation by taking the “best practice” approach to implementing their safety management system. SECOR has two purposes. The first is to help small employers develop and maintain their safety management system. The second is to provide evidence that the company is eligible for a COR incentive payment from WorkSafeBC. These two purposes are different but complementary to one another.

go2HR is the CP responsible for coordinating the program and supporting participating employers in the BC tourism and hospitality industry, as well as other naturally aligned industries. go2HR currently offers the COR program to large employers with 20 or more full-time equivalent employees (FTEs) and the Small Employer COR (SECOR) program for organizations with fewer than 20 FTEs. Participation in the COR program is voluntary and offers many benefits for employers.

## 1.1 WorkSafeBC Certificate of Recognition: Program Standards and Guidelines

All COR programs in British Columbia are coordinated by WorkSafeBC, and go2HR administers the COR program for the BC Tourism and Hospitality Industry. WorkSafeBC coordinates the Activity of all the CPs to help ensure fairness across industry sectors. WorkSafeBC regulates all CP Activity via the [Certificate of Recognition Program: Standards and Guidelines](#). It is updated periodically under the sole control of WorkSafeBC. It defines responsibilities within the COR program of WorkSafeBC, go2HR (and all other CPs), auditors and companies. These rules define how all audits must be performed and administrated, and allow each CP to manage the details of the process to reach desired outcomes.

## 1.2 go2HR SECOR Program Policies and Procedures Manual

go2HR is recognized by WorkSafeBC as having in-depth industry knowledge and existing networks that allow the organization to effectively promote and develop workplace health and safety to tourism employers. go2HR facilitates the delivery of the COR program to employers in tourism, hospitality and naturally aligned industries, corresponding mainly with WorkSafeBC subsector 7610 — Accommodation, Food and Leisure Services. Most employers participating in the program are from the following classification units (CUs):

- 761056 — Overnight and Short-Term Accommodation
- 761035 — Restaurants or Other Dining Establishment
- 761034 — Pub, Bar, Night Club, or Lounge
- 761038 — Ski Hill or Gondola Ride

The purpose of the go2HR *SECOR Program Policies and Procedures Manual* is to provide a reference document for companies, auditors, students and those involved in the administration and review of

go2HR COR audits. While every attempt has been made to include all reasonably expected information, not all circumstances can be predicted, and requirements are subject to continual improvement. go2HR reserves the right to administer the COR audit process following go2HR's internal requirements and WorkSafeBC's *Certificate of Recognition: Program Standards and Guidelines*. In case of conflict between this manual and those requirements, those requirements will have priority. As an integral part of this document, go2HR's quality assurance program is designed to help ensure audits are performed consistently within the guidelines developed by industry and that the highest standards are maintained.

**Note to Auditors**

Ensure you are familiar with the requirements presented in this manual. The *SECOR Program Policies and Procedures Manual* will continue to be updated as required and made available to all auditors and companies involved in the COR program.

## 2. ADMINISTRATIVE PROCESS

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### 2.1 Natural Alignment

The employer will apply to the CP serving the industry or CUs in which the employer is registered, or another partner for an industry sector in which they intend to work. For information about the CPs designated for particular industries, go to the Partners Program section of [www.worksafebc.com](http://www.worksafebc.com). Employers who have difficulty identifying a CP in their industry sector should contact the Partners Program for help (email [partners.program@worksafebc.com](mailto:partners.program@worksafebc.com) or call 604 244-6164 or 1 866 644-6164, toll-free).

If there is no CP for the industry sector, WorkSafeBC will try to align the employer with an existing CP in another industry sector by the principle of natural alignment, on a case-by-case basis. For example, a window manufacturing and installation company spending a significant amount of time on construction sites would be considered, for COR certification purposes, naturally aligned to the construction industry.

### 2.2 Benefits

Employers who choose to participate in the SECOR program make a strong statement about how much they value their workers and how committed they are to ensuring a safe and healthy workplace. Employers who successfully achieve the SECOR certification are eligible for an annual financial incentive of 10% of their base WorkSafeBC premiums, with the minimum eligible incentive being the lesser of \$500 or 50% of their actual premiums paid.

### 2.3 Incentive Timing

Incentives are paid annually from WorkSafeBC and are based on the previous year's audit and payroll for each CU. In order to be eligible for an early summer incentive cheque, companies must have their audits performed by the end of the previous calendar year (or by the anniversary date of maintenance or recertification audits) and submit their annual payroll assessment reports to WorkSafeBC on time.

### 2.4 COR Incentive Eligibility

WorkSafeBC is responsible for managing the program and issuing COR incentive payments. If go2HR reports that a particular company's CU has passed a COR audit, WorkSafeBC will consider that CU for a COR incentive payment. Neither the auditor nor go2HR has any influence over this process beyond accurately reporting and tracking the Activity of companies, accounts and their CUs.

The COR incentive payment is only issued if the company is in good standing with WorkSafeBC.



### **Ineligibility for COR Rebate**

A participating employer may be ineligible for a COR rebate if any of the following conditions apply:

- The employer has engaged in an activity that would cause WorkSafeBC to consider imposing, or has resulted in WorkSafeBC imposing, an administrative penalty. (See WorkSafeBC Prevention Policy D-12-196-1.)
- The employer has suppressed claims for compensation or suppressed claims costs.
- The employer has an outstanding balance related to its WorkSafeBC employer account.
- The employer has failed to register with WorkSafeBC.
- The employer has not reported payroll (for the applicable CU) to WorkSafeBC for the audit year.
- The employer has engaged in other misconduct considered by WorkSafeBC to be inconsistent with participation in the COR program.

Employers will remain ineligible for COR rebates until they have resolved the condition causing the ineligibility. Where the employer's Activity have resulted in it being ineligible for the COR rebate and where an appeal process with WorkSafeBC is in place and an appeal is being pursued by the employer, the employer's eligibility for a COR rebate will not be determined until the appeal process has been completed.

If the appeal at WorkSafeBC is resolved in favour of the employer, the COR rebate will be issued. If one or more of the above conditions causing ineligibility applies, for which there has been no successful appeal by the employer, the employer will be ineligible for a COR rebate applicable to any calendar year to which the ineligibility condition relates.

To maintain the integrity of the COR program, any employer who is discovered to have provided fraudulent information at any point during the COR certification and rebate process may lose COR status and be required to repay any previously issued rebates.

## **2.5 Classification Units**

### **Accounts and Classification Units**

A key concept in relation to COR auditing is the classification unit, or CU. WorkSafeBC, among its many other functions, is an insurance company that insures a company's workers against occupational illness and injury. Companies who engage in different risk Activity pay different premiums, on the basis that a higher-risk activity has a higher probability of generating a claim cost. Every company is assigned to at least one CU. Additionally, if a single company has several logical divisions that are large and have significantly different risk levels (e.g., a ski hill, a restaurant and a golf course), it may have multiple CUs.

## 2.6 COR Audit Cycle

Audits fall into three basic categories that occur during a three-year audit cycle: certification audits, maintenance audits and recertification audits.

### 2.6.1 Certification Audits

A certification audit is required in the first year of your audit cycle. This audit will be conducted by an internal auditor certified by go2HR using go2HR's SECOR audit tool. Auditors must notify go2HR of their intent to conduct an audit by submitting a Notice of Audit Activity form at least two weeks before starting the audit. The auditor must NOT proceed with the audit without receiving plan approval from go2HR. Proceeding without prior approval will result in auditor discipline, since it can result in an invalid audit submission to WorkSafeBC for some or all of the CUs in the company.

To meet the minimum COR standards, each certification audit must:

- Attain 80% overall score;
- Attain a minimum of 50% in each element; and
- Meet the established quality assurance standards of go2HR and WorkSafeBC.

Once the audit has been completed, the auditor has 14 days to submit a completed report to go2HR.

### 2.6.2 Maintenance Audits

Once a company achieves COR certification, successfully completed maintenance audits are required in years two and three for the company to maintain its certification status. The maintenance audit has two purposes: to show that the company is maintaining the system originally audited by the internal auditor during the certification audit; and to provide an ongoing status check on the progress of recommendations made during the last certification audit.

Maintenance audits are conducted by the internal auditor and can be completed any time during the calendar year, but there must be at least six months between each audit. The deadline for all audit submissions within the calendar year is December 31. Employers who fail to submit the required maintenance audit before this date will no longer be certified under the COR program and are not eligible for their annual rebate. Employers wanting to re-enter the COR program after decertification must re-apply for entry into the program and pass an external audit review.

### 2.6.3 Recertification Audits

Recertification audits are performed at the end of each three-year audit cycle. Upon successful completion of the audit, a new certificate is issued. Depending on the company's preference, the expiry date of the new certificate can either be set to the same expiry date as the old certificate or to the last day of the new audit's on-site data collection Activity. If the company does not inform go2HR of its preference, the expiry date of the new certificate will default to the last day of on-site audit Activity. Companies who wish to change their certification anniversary for any reason should contact go2HR.

### *2.6.3.1 New or Changed Classification Units*

If there is a change in a company's CUs, ownership or WorkSafeBC account, or if the company undergoes significant expansion or contraction, an early recertification audit may be required. Consult with go2HR if any of these conditions apply to your company.

## 3. ROLES AND RESPONSIBILITIES

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Participation in the COR program involves many stakeholders, including the CP (go2HR), WorkSafeBC, the auditor, and the employer and employees. This section outlines the involvement of the various stakeholders in the COR certification process.

### 3.1 go2HR

- Manage the quality assurance program.
- Follow the *SECOR Program Policies and Procedures Manual* (this document).
- Design and update the auditor training program.
- Liaise with both auditors and auditees (employers).
- Resolve conflicts relating to the audit program.
- Liaise with industry and WorkSafeBC regarding issues such as injury trends and stats.
- Review audits.
- Maintain a current database on COR status.
- Ensure control and security of audit documents.

### 3.2 WorkSafeBC

- Provide assistance and guidance to go2HR on the development and implementation of the quality assurance program.
- Approve and oversee go2HR's quality assurance program.
- Audit the quality assurance program.
- Provide information on the safety performance of certified companies.

### 3.3 Auditor

- Complete the audit tool, as specified.
- Follow the *SECOR Program Policies and Procedures Manual* (this document).
- Conform to the *Auditor Code of Ethics*.
- Act as an ambassador of the SECOR program and go2HR.

### 3.4 Employer

- Follow the *SECOR Program Policies and Procedures Manual* (this document).
- Ensure conflicts of interest are avoided.
- Ensure audits are planned and scheduled.
- Specify which areas are audited for COR certification.
- Foster a positive audit environment by assisting and co-operating with the auditor so audit objectives are met.
- Provide access to facilities and supporting information as requested by the auditor.
- Provide go2HR with feedback on the audit process to assist with continuous improvement.

- Provide go2HR with information related to changes in the scope of business (e.g., adding or abandoning CUs, changes in ownership and significant mergers or acquisitions).

## 4. HOW TO PARTICIPATE

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### 4.1 Register with go2HR

Register with go2HR to participate in the SECOR program and take advantage of all its benefits. Registration is free and available online at [www.go2hr.ca/health-safety/certificate-recognition/cor-registration](http://www.go2hr.ca/health-safety/certificate-recognition/cor-registration).

### 4.2 Identify a COR Champion

After registering for the SECOR program, you need to identify a COR champion within your workplace who has the ability to lead the process. This person should know about workplace policies and procedures, and have the ability to implement training programs and policies as required.

### 4.3 Sign up for Internal Auditor Training

Once you have a champion in place, he or she should sign up for internal auditor training. Training consists of two parts: online study and an interactive one-on-one training session administered by go2HR. To sign up for SECOR internal auditor training, email [safety@go2hr.ca](mailto:safety@go2hr.ca).

### 4.4 Develop your Safety Management System

Visit [go2HR's website](http://go2HR's website) and go to the SECOR portal, where you will find everything you need to develop your safety management system. There is a step-by-step self-assessment guide that you can use to navigate each COR program audit element and download training resources and templates to fill any gaps in your safety management system.

### 4.5 Submit your Notice of Audit Activity

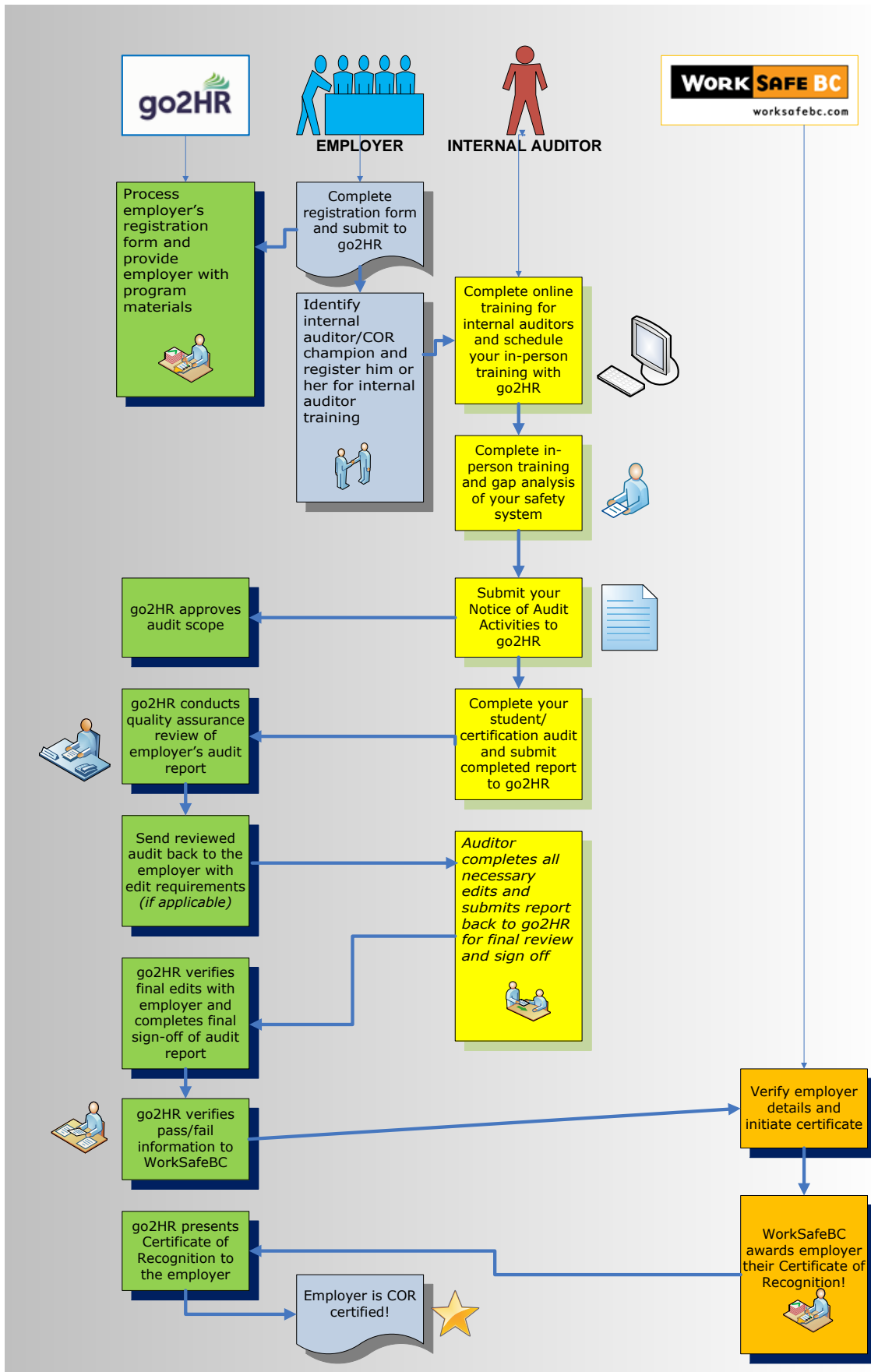
Once you have all the elements of your safety management system in place, you are ready to audit your own program. Submit your [Notice of Audit Activity](#) to go2HR at least two weeks before starting your audit.

### 4.6 Submit your Completed Audit

Upon completing your audit Activity, you must submit your completed audit tool, along with required documents, to go2HR for a quality assurance review.

### 4.7 Become COR Certified

If you pass the quality assurance review, go2HR will forward successful audit details to WorkSafeBC for the approval of COR certification.



# 5. INTERNAL AUDITOR TRAINING AND CERTIFICATION

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The SECOR Internal Auditor is a permanent employee of a company who completes auditor training for the purpose of conducting the company's internal COR audits.

## 5.1 Selection

Companies seeking an internal auditor should select a candidate who has knowledge of the company and its safety system, as well as the time and ability to prepare an audit report. In order to qualify for internal auditor certification, candidates must accomplish the following:

1. Complete the COR internal auditor training (online and in person), achieving a minimum passing grade of 80%.
2. Conduct a student audit that passes a qualification review by go2HR (achieving at least 80%) within 12 months of completing the training session.
3. Sign and abide by the *Auditor Code of Ethics*.
4. Maintain COR internal auditor certification.

go2HR's internal auditor training for the SECOR program is approximately 15 hours of specialized training covering all aspects of the SECOR program, auditing practice, report writing and health and safety best practice. The training consists of self-paced online training followed by a one-day, one-on-one in-person training session held at your property. This is a unique one-on-one training format specially designed for the SECOR program. For more information or to register for SECOR internal auditor training, visit go2HR's [COR Internal Auditor Training](#) page.

## 5.2 Online/Self-Study

Our online, interactive training program provides the student with an overview of the SECOR process, safety program elements and audit methodology, including report writing. At the end of this session, the student auditor will have a clear understanding of the go2HR SECOR program and its administrative policies and procedures.

## 5.3 Practical Training

Our one-on-one training program was developed to provide student auditors with a practical training session facilitated on their own properties. This gives students the ability to learn about the SECOR program and its processes, as well as a hands-on review of their own health and safety system with the guidance of a safety specialist provided by go2HR. Internal auditors are required to complete a student audit that passes a quality assurance review within 12 months of their training to fulfill certification requirements.

**Note:** Your student audit will also be considered your company's first-year certification audit.



## 5.4 Student Audit

Student internal auditors are required to conduct audits that cover all operations of the company they represent. If a company has more than one student auditor, the individuals may complete their student audits for selected parts of the organization. In this case, all work must be completed individually to ensure each student can demonstrate an aptitude for using the audit tool effectively and completing the audit successfully. Student audits must include all documentation identified on the audit submission checklist.

If the company is already certified, successful student audit reports covering the entire organization will function as the company's annual maintenance audit. If the company has a single student auditor, that person must perform an audit of the whole scope of the company. If the company has more than one student auditor, the students must divide the company into equal sample sizes and perform a full audit on their assigned portion. After each student audit has successfully passed through the quality assurance process, the auditors must then combine their reports into a single report to satisfy the annual COR maintenance audit requirements.

## 5.5 Auditor Certification

Once the student audit has been approved, go2HR issues an internal auditor certification, and the auditor officially becomes a certified go2HR internal auditor.

## 5.6 Certification Maintenance

Under WorkSafeBC's *Certificate of Recognition: Program Standards and Guidelines*, internal auditor certification is valid for three years. Internal auditors are required to perform two audits per three-year auditor certification cycle. If there are multiple auditors in the company, internal auditors may meet this requirement by participating in a team audit, provided each auditor contributes meaningfully to all three types of data collection (observation, documentation and interviews).

To be eligible for certification re-approval, all auditors must also complete at least seven hours of auditor training during the three-year certification period. go2HR will regularly host webinars that will count toward the seven-hour training requirement. Auditors may also apply in writing to go2HR to have relevant safety-related or audit-related training and education gained through other agencies applied toward their seven-hour requirement. go2HR is under no obligation to accept any particular request but will apply consistent decision logic fairly to all auditors. Examples of the courses and training accepted include those organized by the Employers' Advisers Office, WorkSafeBC, the BCIT OHS program, and other safety associations.

Auditors are responsible for completing these audits and reporting to go2HR using the [COR Internal Auditor Declaration Form](#) within three years of their certification date.

## 5.7 Personal Certification

Auditor certification is issued for the individual rather than the company. If the person trained as an internal auditor leaves the company, it is company's responsibility to select another employee for internal auditor training. The auditor must notify go2HR when they leave a company and if they join a new company that is either certified or eligible for certification.

## 5.8 Auditor Code of Ethics — Overview

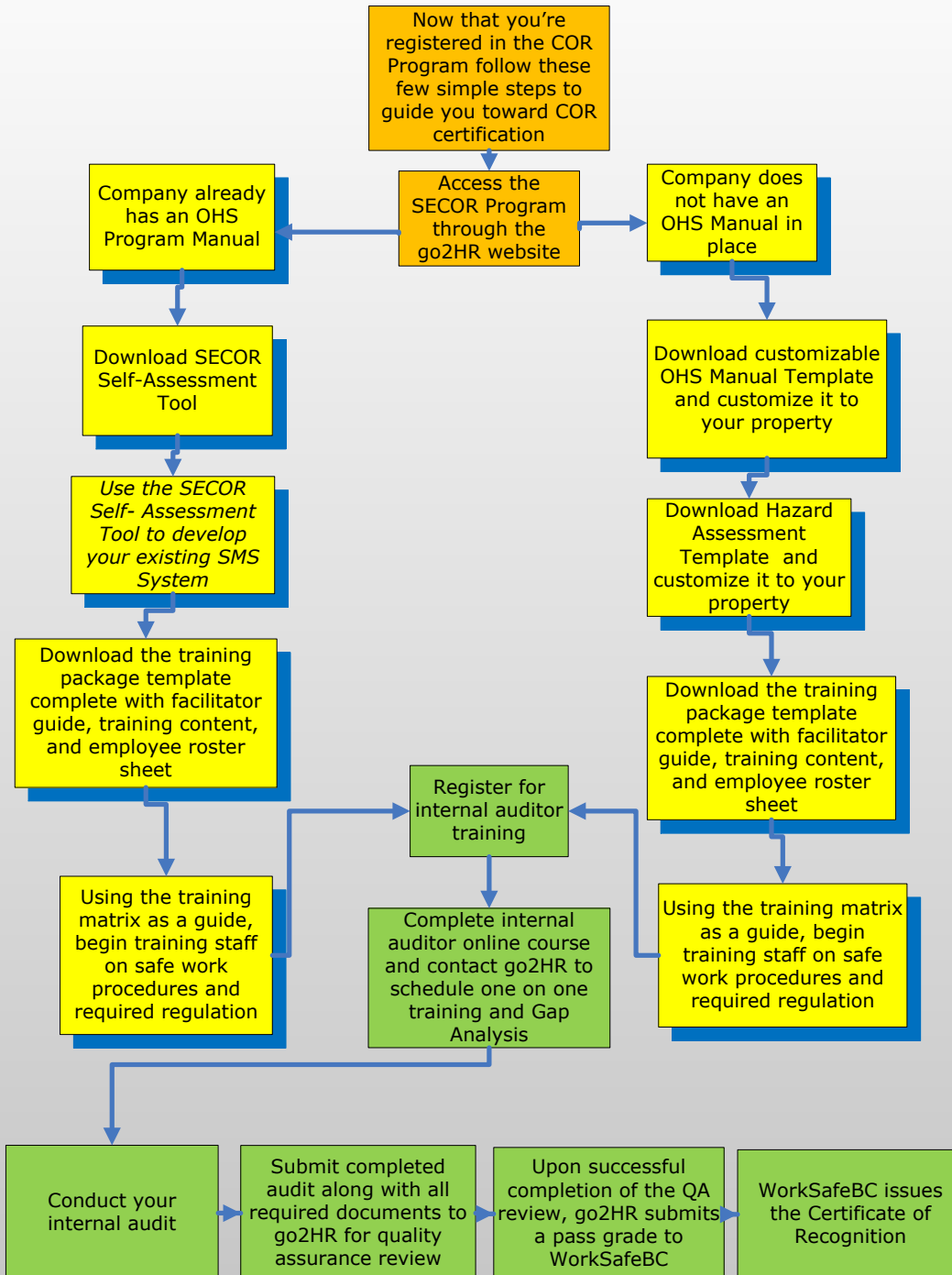
go2HR is responsible for overseeing and maintaining the integrity of the internal auditor program, which includes addressing issues around professional responsibility requirements.

The nature of auditors' responsibilities during an audit process places high ethical demands on their conduct and business practices. In order to provide clear guidance on expected behaviour and to maintain an ethical and co-operative integrity of the COR program, go2HR has developed the *Auditor Code of Ethics*. The standards set forth in this document provide basic principles of auditor conduct and are expected of all auditors.

Auditors are to conduct themselves in a manner that is consistent with the promotion of co-operation and good relations between auditors and the tourism and hospitality sectors. The confidence and respect these sectors show auditors are largely the result of the cumulative accomplishments of other auditors, together with go2HR. It is therefore in the interest of all auditors to take a fair and balanced approach when dealing with members of the BC tourism and hospitality sectors.

The *Auditor Code of Ethics* and the go2HR *SECOR Program Policies and Procedures Manual* provide guidance to auditors certified under the COR program. If a particular conduct is not mentioned within this document, it does not prevent such conduct from being unacceptable. Auditors and institutions can be subject to disciplinary action if it is determined they have behaved in a manner that is not in keeping with the code's standards.

# Developing your safety management system



## 6. PRE-AUDIT ACTIVITY — NOTICE OF AUDIT

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When the company decides to move forward with a formal audit, it will submit a [Notice of Audit Activity \(NOAA\) form](#) to go2HR at least two weeks before beginning on-site activities.

### 6.1 Audit Parameters

There are many parameters that define the scope of an organization's audit. The main ones are as follows:

- **Number of WorkSafeBC accounts** — Because the certification and rebate is awarded to specific accounts, all accounts applying for certification must be audited.
- **Number of CUs** — Because the rebate is awarded based on applicable CUs, only CUs covered by the audit are eligible to receive a rebate.
- **Number of sites** — At least one-third of the sites within each CU must be sampled every year, and all sites must be sampled during the three-year cycle. The exact requirements are outlined in Section 6.2.
- **Number of operating seasons** — If the different seasons have different CUs, those seasons must be sampled every year. If different seasons are within the same CU, the seasons must be alternated in such a way that all seasonal activities are audited at least once during the three-year certification cycle.

### 6.2 Site Visit Requirements

An organization's OHS and audits must encompass a representative sample of all operations, activities and facilities within its control where permanent, casual or temporary staff may work.

Work sites included in the audit must represent the overall company operations. Use the following criteria to determine which work sites will be included in the scope of an audit:

- Employers that operate under multiple CUs must ensure activities under all applicable CUs are represented in the site sampling.
- The audit must include sites where conditions vary or are not consistent with the majority of sites inside the operation.
- The main office/site must be included in both certification and maintenance audits.

### 6.3 Seasonal Requirements

Some outdoor hospitality operations are seasonal (e.g., snow sports or golf). In these cases, seasonality must be considered and the audit must be performed when the relevant activities are running at a minimum of 70% operating capacity. This helps ensure that the audit is representative of

how the company operates during their “normal business” times. This may be the least convenient time for an audit, but it is an unavoidable requirement.

Each visit must include all three data collection methods (observation, documentation and interviews), and the auditor must apply these methods to the activities of each season in the three-year cycle of the audit. It is not sufficient to review documentation from summer operations in the winter season or to interview summer workers who have returned for the winter season without actually observing the summer activities. Companies with seasonal operations should consult go2HR before planning and performing their audits.

## 6.4 Interview Requirements

The interview sample within the audit scope must represent the size and complexity of the organization being audited. All business units and levels of the organization must be reflected in the sample. Depending on the nature of the operation, the audit may require sample sizes above the suggested minimums. To be representative, the interview sample must consider all the parameters listed in Table 6.1.

*Table 6.1 Interview Parameters to Consider*

Parameter	Consideration
Seniority	Include a cross-section of employees, from new hires to experienced staff.
Department/function	Include staff from all departments.
Levels of employees	Include a cross-section of employees from every staffing level, including management and part-time and casual workers. When the audit scope encompasses more than one work site, include a sampling of staff from each work site.
Shifts	Include a sampling of employees from all shifts
Company history	If the company has recently undergone reorganization or other restructuring, include employees from both the “old” and “new” parts of the company.
WorkSafeBC CUs	When the scope of the audit encompasses more than one WorkSafeBC CU, include a sampling of staff from all CUs.
Sites	The number of sites included in the audit must represent the overall company operations (see criteria for determining representative site sampling). Interview sampling is always based on total employee numbers, not the total number of employees working at the sites included in the current year’s audit.

## 6.5 Auditor Requirements for Interviews

Auditors must observe the following requirements when carrying out interviews:

- Group interviews are not permitted.
- Auditors can hold audit meetings involving employee groups or informal group interviews for the purpose of gathering information about the overall operation processes to assist audit planning.

However, auditors should not use group meetings or informal interview results to meet interview sample requirements or for scoring purposes in the COR audit report.

- The minimum number of interviews must meet the requirements specified in Table 6.2.

*Table 6.2 Minimum Interview Requirements*

<b>Total Staff</b>	<b>Minimum Interviews</b>
Fewer than 5	All staff
5	4
6–7	5
8	6
9	7
10–11	8
12–14	9
15–16	10
16–17	11
18–19	12

# 7. AUDIT MEETINGS

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## 7.1 Pre-Audit Meeting

This meeting is important for fostering commitment and showing the value of the COR process. During the pre-audit meeting, the auditor must describe the following:

- Purpose and scope of the audit;
- Benefits of the audit for the company;
- Schedule of events (documentation reviews, observational tours, interviews and site tours);
- Minimum passing scores required for successful completion of the audit;
- Confirmation of locations of active work sites;
- Numbers of managers, supervisors and workers to be interviewed;
- Scheduled timing of the close-out meeting (auditor executive summary presentation); and
- Final report.

It is up to the management team to determine who should attend the meeting. Senior management must be made aware of and participate in the COR process. Participants should include senior managers, supervisors, and worker representatives.

## 7.2 Last Day of On-Site Activity

A key date of the audit process is the last day of on-site data collection activity. This is an official tracking day for the audit. If the pre-audit meeting occurs on Monday morning, documentation is reviewed on Monday afternoon, interviews and observations continue to the end of Thursday, and only the close-out meeting occurs on Friday, then the official last day of on-site activity is Thursday. **For an audit to be valid for COR in a particular calendar year, the last day of on-site activity must be on or before December 31.** Because of a COR program tracking program requirement at WorkSafeBC (all COR certificates are valid for three years plus a day), audits with a last day of on-site activity of December 31 will be reported as December 30.

## 7.3 Close-Out Meeting

This meeting serves to close the audit at the end of on-site activity before the audit report is written. The same group that attended the pre-audit meeting should be present. This is an opportunity to review positive and negative findings. The following actions are recommended:

- Give an indication of results, within the limits and ranges that the auditor is comfortable with.  
**Note:** Auditors must never guarantee a pass, certificate or rebate.
- Review the verification techniques (documentation, observation and interview) used during the audit.
- Include the site locations visited and the number of employees interviewed.
- Emphasize the strong elements of the OHS program and RTW program.

- Make reasonable and practical recommendations for improvement in a broad sense that does not require the detailed audit report to be completed.
- Recommend the development and implementation of an action plan.
- Present an approximate timeline for creating and reviewing the report.



# 8. AUDIT REPORT SUBMISSION

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The auditor needs to allow sufficient time to prepare the audit report. Allocate at least two hours of writing for every hour of data collection. This time could increase to three hours for student auditors.

## 8.1 Minimum Components of COR Audit Report

The following are the minimum components of an internal COR audit report:

- Title page;
- Executive summary;
- Notice of audit activity (submitted two weeks before audit activity);
- Organizational chart; and
- Completed SECOR audit tool.

## 8.2 Title Page

The audit document should start with a title page that includes the following information:

- Full legal company name (and trade name if applicable);
- Audit year and internal/external and certification/maintenance/recertification status;
- Name of the auditor;
- Certified auditor number; and
- Start date of the audit and the last day of on-site activity.

The auditor may choose to add photographs or graphics to the title page. Photographs of company activities and people should only be included with permission from the company and everyone represented in the pictures.

## 8.3 Executive Summary

The executive summary should be one to two pages long and should be concise and to the point. When reading the report, most readers — from the executive to the front-line worker — are interested in three things:

- Did we pass?
- How well did we do? What was our percentage score?
- What does the company need to work on?

Table 8.1 Executive Summary — Required Topics

Topic	Description
Legal and trade names	The full legal name and, if applicable, trade name of the company being audited must be included in the first paragraph.
Description of company profile	In a paragraph or less, describe the business of the company.
Account number	The applicable WorkSafeBC account numbers to which the audit applies must be included.
CUs	The applicable WorkSafeBC CUs to which the audit applies must be included.
Outcome	The audit's outcome (success or non-success) needs to be clearly stated in the first two paragraphs.
Locations	A description of the locations sampled.
Sites	If the WorkSafeBC locations contain several work sites, describe this as well.
Dates of audit	The date range of the audit must be presented.
Last day of on-site activity	The last day of on-site activity must be explicitly and obviously named.
Interview count compared to minimum	The auditor needs to state the minimum number of interviews required and actual interviews completed.
Major strengths	Include a list of 3–5 major areas of strength. After performing an audit, the auditor should have a clear ability to state what the company is good at.
Major areas for improvement	Include a list or 3–5 overall areas of improvement that the company should work on for the next audit.

## 8.4 Organizational Chart

An organizational chart or table summarizing the organizational structure is required. Marking off the boundaries of accounts and CUs is necessary for complex organizations.

## 8.5 COR Audit Tools, Notes and Recommendations

Include a fully completed go2HR SECOR audit tool.

## 8.6 Minimum Standards for Notes

Notes are the foundation of the audit report. The following general requirements apply to all notes:

- Notes must be clear, concise and answer the questions and guidelines in full. Auditors are expected to write to the best of their abilities when submitting audit reports.
- An auditor note that simply answers “yes” to a question will likely receive a reviewer comment that simply says “no.”
- Auditors must always provide recommendations for questions that achieve no points.

### 8.6.1 Audit Notes

The following requirements apply to all audit notes:

- Data defines the source document name and gives overall positive results.
- List the number of records reviewed when examining multiple records.
- List deficiencies, if any.

#### Example:

(D) The company's human resources department retains complete records of worker training, including signed and dated orientation and training documents for all new workers. An Excel document is used to track the required training and certification and expiry dates of each employee. Current records show the following certificates: WHMIS (5), FOODSAFE (3), Serving It Right (3), First Aid Level 1 certifications (5), First Aid Level 2 certifications (1), avalanche blasting certification (2). Full points awarded.

### 8.6.2 Interview Notes

The following requirements apply to interview notes:

- Data identifies who was interviewed (e.g., managers, supervisors and workers) and gives positive percentage results.
- Obtained interview results should be summarized but not quoted.
- The volume of data is sufficient to justify the score and includes a positive percentage.
- Interview data volume has to be roughly proportional to the score value.
- Scoring is based upon the percentage of positive interviews.
- List deficiencies, if any.

#### Example:

(I) 3 out of 3 supervisors interviewed provided knowledgeable responses demonstrating their understanding of the safety requirements for activity being performed. Responses from the supervisors included: WorkSafeBC OHS roles and responsibilities for supervisors, certification requirements for each occupation under their supervision, maintaining equipment logs, identifying and communicating hazards, PPE, required training, incident reporting and investigation, emergency response planning and proper first aid equipment and supplies. Full points awarded for 100% positive responses.

### 8.6.3 Previous Audits

The SECOR program is based on continual improvement. All deficiencies identified in previous audits must be addressed before the next year's audit activity. Deficiencies that have not been addressed over the course of several audits may prompt an internal review conducted by go2HR.

Therefore, a company must develop a corrective action plan after the audit is completed. Each recommendation requires a plan for how the company will address deficiencies and who in the organization is in charge.

## 9. QUALITY ASSURANCE REVIEW

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After the employer has submitted the completed audit report, the content of the report and findings undergo a quality assurance review. Quality assurance is a critical component of the COR program. Working independently but in co-operation with WorkSafeBC, go2HR is responsible for performing review and investigation activities designed to ensure a high level of confidence in the accuracy and timeliness of COR audit results. The framework of the quality assurance program is set by the WorkSafeBC publication *Certificate of Recognition Program: Standards and Guidelines*. Guided by this framework, go2HR has developed two quality assurance tools that fit the specific needs of the tourism and hospitality industry.

### 9.1 Desktop Audit Review

Once submitted to go2HR, the audit report goes through a desktop audit review. The reviewer will go over all content to ensure it follows the guideline standards. The reviewer will also examine the executive summary and interview/site sampling information to ensure the reported context of the audit is appropriate for the COR certification the company is seeking. Once the desktop review has been completed, the reviewer will forward the audit report to a safety contractor for a quality assurance review.

### 9.2 Quality Assurance Review of Audit Reports

go2HR will ensure a detailed quality assurance review of all COR audits. The intent is to ensure that audit process deficiencies are remedied as required so all audits meet an acceptable standard. Notes, scoring and recommendations are reviewed to ensure accuracy within the employer's report. Reviews are performed by the go2HR COR program manager or, in some cases, a qualified contractor. Auditors are required to make changes to their audit reports to meet the requirements of the evaluation standard. Auditors are expected to resubmit their reports with the required revisions for further review within 14 days.

### 9.3 Certifying Partner Activity

#### 9.3.1 Successful Audits

At the conclusion of the review process, go2HR registers the audit with WorkSafeBC by account and CU. If the company has met all audit requirements and is in good standing with WorkSafeBC, then WorkSafeBC will issue a COR rebate in the summer of the year following the audit. WorkSafeBC creates a COR certificate on acceptance of the audit and sends it to go2HR, who then presents it to the company.

#### 9.3.2 Unsuccessful Audits

If the overall audit score is less than 80% (when rounded to a whole number) or any audit element scores less than 50%, the audit is not successful and will not be registered with WorkSafeBC. go2HR

will notify the company that their audit was not successful, along with an offer to work with the company to improve its safety management system. The nature of assistance offered depends on the nature and degree of the deficiencies in the company system and the capacity of go2HR to assist. The company should review their audit recommendations carefully to better understand their shortcomings and consider suggestions made by the auditor for addressing their issues.

Audits achieving a total score of 70–79% (less than 10% below the passing mark of 80%) may qualify for a limited scope audit.

### **9.3.3 Auditor Performance**

go2HR may track auditor activities by the:

- Number of audits performed each year;
- Time between the last day of on-site activity and audit submission;
- Number of major and minor issues found in revisions;
- Timeliness of response to revisions;
- Number of revision cycles per audit; and
- Company feedback on auditor performance via surveys.

This information helps generate auditor benchmarking data. Identifiable information about any specific auditor remains confidential.

### **9.3.4 Approved Tools for Submitting Audits**

Auditors must use the go2HR SECOR audit tool for all audit activities and send in all accompanying documentation with the completed audit report.

# 10. QUALITY ASSURANCE OF THE AUDITOR

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The second component of quality assurance deals with the on-site performance of audit activities. The audit report must be technically correct and must be a statistically valid report of company activities.

go2HR uses the following methods of quality assurance to evaluate auditor performance:

- A shadow audit; and
- A verification audit.

## 10.1 Shadow Audit

### 10.1.1 Definition and Purpose

A shadow audit is a “ride-along” with an experienced certified auditor or a go2HR staff member, where the auditor being shadowed is performing a regular annual audit. The process is most often used as an opportunity for coaching, mentoring and discussion rather than punitive investigation. go2HR covers the costs of the shadow auditor, and the costs of the normal auditor follow normal protocols. The shadow auditor, as the name implies, should be as invisible as possible during the audit process. The shadow auditor may attend any phase of the audit, including the pre-audit meeting; data collection through O, D and I methods (specifically sitting in on interviews with the permission of the interviewee); and the post-audit meeting.

### 10.1.2 Selection Method

Selection methods for a shadow audit combine random selection, specific requests and statistical analysis.

### 10.1.3 Outcome

The shadow audit does not generate a score for the company and is not comparable to a normal audit. The auditor will receive a performance report during the audit listing strengths and areas for improvement.

Depending on the outcome of the shadow audit, the auditor will be:

- Approved for continued auditing;
- Approved for continued auditing with improvement required;
- Approved for continued auditing after specific training has been completed;
- Recommended for specific training before completing additional auditing; or
- Recommended for performance-based investigation.

In extreme cases, the audit results may be invalidated and the company or any other company audited by that auditor will be required to undergo a new audit. go2HR assumes no financial obligation if an audit is invalidated.

## 10.2 Verification Audit

The verification audit is the final method of quality assurance on auditor activities.

### 10.2.1 Definition and Purpose

The verification audit is a verification of auditor activities. It does not attempt to verify that the company has met any particular standard of legislative, regulatory or company conformance. Documentation, observation and interview activities of the verification audit are to compare against the audit report, rather than either the company system or any internal requirements for performance. The verification audit occurs between one and six months after the regular annual audit of the company and typically consists of a three- to six-hour on-site visit by the verifier. Interview evidence will include a brief interview with workers, supervisors and managers focussing on their interactions with the auditor and evaluating auditor performance. The costs of the verification audit (beyond the soft cost of the time that interviewees spend with the auditor) are covered entirely by go2HR.

### 10.2.2 Selection Method

Selection methods for a verification audit are a combination of random selection, specific requests and statistical analysis. Specific requests include notifications from WorkSafeBC, which are shared with go2HR, that another CP has decertified an auditor due to conduct and that the auditor's name has been listed with WorkSafeBC. A minimum of 10% of certified internal go2HR auditors will have their work on certification audits reviewed each year.

### 10.2.3 Outcome

The verification audit is not directly comparable to the normal audit process and does not generate a score for the company. Each question on the verification audit tool is assessed as having positive or negative outcome. Positive outcome means auditors' performance is satisfactory, negative outcome means that auditors' performance does not meet the standard or the evidence collected during verification audit does not support findings from the original audit report. The auditor will receive a report on their performance during the audit listing key strengths and areas for improvement.

Depending on the outcome of the audit, the auditor will be:

- Approved for continued auditing;
- Approved for continued auditing with improvement required;
- Approved for continued auditing after specific training has been completed;
- Recommended for specific training prior to completing additional auditing; or
- Recommended for performance-based investigation.

## 10.3 WorkSafeBC-Initiated Verification Audit (WIVA)

A WIVA is the only case where company achievement is evaluated. It is a tightly focused audit that deals with concepts similar to a normal COR audit, but it is not directly comparable. The WIVA tool is provided by and controlled by WorkSafeBC.

### **10.3.1 Definition and Purpose**

WorkSafeBC requests that go2HR perform a WIVA when a certified company has WorkSafeBC orders or performance (injury or claims) inconsistent with good safety management principles. This is in addition to the regular annual audit. As with all quality assurance Activity, go2HR covers the audit costs.

### **10.3.2 Verifier Qualifications**

The person performing the WIVA may be a:

- COR staff member from go2HR;
- COR staff member from another CP in BC;
- Certified go2HR external auditor; or a
- Certified external auditor from another CP in BC.



# 11. DISPUTE AND RESOLUTION PROCESS

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Periodically, companies, auditors and WorkSafeBC will provide feedback to go2HR about the COR program. This feedback may be positive, negative or neutral. If there is negative feedback about the performance or activities of a certified company or auditor, go2HR will investigate it. The investigation may include statistical review, auditor or company quality assurance, and direct evidence collection, as appropriate for the nature and severity of the alleged issue.

If an employer disagrees with the auditor's findings, the employer must submit a written request for review identifying the specific element being contested. As the CP, go2HR will review the matter to ensure the report is free from clerical errors and that the auditor has applied a consistent approach to the element in question. The target time to complete this review is two weeks.

Feedback on the COR program may include the following:

- Auditor candidate selection;
- Auditor training;
- Auditor student evaluation;
- Student audit performance;
- Quality assurance reviews;
- Quality assurance on-site activities;
- Administrative requirements; and
- Discipline issues.

If an auditor or auditor candidate makes the feedback, he or she will be asked to submit a written report detailing the issue and proposed remedy. go2HR will review it to determine if the go2HR *SECOR Program Policies and Procedures Manual* and WorkSafeBC's *Certificate of Recognition: Program Standards and Guidelines* were followed. The target time for this review is two weeks.

# COR INTERNAL AUDITOR DECLARATION FORM

## Instructions

Please review the *SECOR Program Policies and Procedures Manual*, and submit your Internal Auditor Declaration [electronically](#) before the third-year anniversary of your internal auditor certification date.

Auditor Information	
Auditor Name	
Auditor Number	
Certification Date	
Email Address	
Phone Number	
Company Information	
Company Name	
Address	

Please indicate **your participation** in audits submitted to go2HR during the three-year COR reporting period.

Total number of audits: \_\_\_\_\_

	Maintenance Audit	Student Audit	N/A (Certification/Recertification)
20__	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20__	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20__	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20__	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

List all training/continuing professional development sessions you attended during the three-year COR reporting period.

Name of Course, Training or Event	Provider	Date Attended	Length (hours)

## Certified Auditor Affirmation

I, the undersigned, do hereby affirm that I read, understood and agree to abide by the terms and conditions of the go2HR *Auditor Code of Ethics*. I have completed my self-assessment in accordance with go2HR requirements. I have reviewed my auditing practices and the go2HR *SECOR Program Policies and Procedures Manual*.

Auditor Name

Auditor Signature

Date