

AMTA

ALBERTA MOTOR TRANSPORT ASSOCIATION



Auditor Re-certification

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Partnerships, PIR and COR

Partnerships in Injury Reduction promote health and safety through partnerships with safety associations such as the Alberta Motor Transport Association, industry groups, employers, educational institutions and labour organizations. It is based on the premise that when employers and workers voluntarily build effective health and safety programs in their own workplaces, the human and financial costs of workplace injuries and illnesses will be reduced. Partnerships believe supporting health and safety programs leads to larger reductions in injuries than regulatory compliance alone.

What is Partnerships in Injury Reduction?

First established in 1989, Partnerships in Injury Reduction was developed with the belief that:

- When employers and workers build effective health and safety management systems in their own workplaces, the human and financial costs of workplace injuries will be reduced;
- More can be achieved by working together than alone; and
- Corporate leaders in the province are willing to take a proactive role in creating a climate where employers and workers work together to ensure a healthier and safer work culture, ultimately leading to greater industry self reliance and less government intervention.

What is COR?

A Certificate of Recognition (COR) is essential to the WCB Partnerships in Injury Reduction (PIR) program and a key component of the Partnerships program. A COR is issued to an employer who has successfully developed and implemented a workplace health and safety management system. Programs will vary depending on the nature and scope of the business, but to be effective, the following components are considered essential:

- ✓ Management Leadership and Organizational Commitment
- ✓ Hazard Identification and Assessment
- ✓ Hazard Control
- ✓ Ongoing Inspections
- ✓ Qualifications, Orientation and Training
- ✓ Emergency Response
- ✓ Incident Investigation
- ✓ Program Administration

There are several Certifying Partners in Alberta, all who have committed to working with Alberta Employment and Immigration towards improving health and safety for Alberta workers. Certifying Partners review audits for quality assurance standards and facilitate the issuance of CORs to employers whose health and safety management systems meet specific standards.

All Certifying Partners have signed a Memorandum of Understanding (MOU) with Alberta Employment and Immigration outlining the commitments of both parties.

All Certifying Partners utilize an “audit instrument” to review an employer’s health and safety management system. These audit instruments have been modified to suit the industry that is being

audited but in all cases, the audit instrument is approved by Partnerships before it can be used.

Auditing Theory

Why Do We Audit?

There are many reasons we audit health and safety management systems. Some of the primary reasons include:

- To measure an employer's health and safety management system against a given standard
- Assess the programs performance to demonstrate due diligence
- Assess the program following a serious incident or fatality
- A contractual agreement may require an audit
- To achieve a Certificate of Recognition and receive PIR rebates

The benefits of auditing are many. They include but are not limited to:

- ✓ Audits provide an opportunity for many personnel to provide input that can improve workplace health and safety
- ✓ Audits raise health and safety awareness with the general population at the workplace
- ✓ Audits assist employers in establishing strengths and areas that require improvement

- ✓ Audits raise the profile of health and safety issues and activities
- ✓ Audits provide a solid platform for developing comprehensive strategies for future health and safety programming
- ✓ Audits identify immediate and long term cost saving strategies
- ✓ Audits provide an opportunity for continuous improvement of work processes and allow for monitoring for consistency across all aspects of an operation
- ✓ Audits allow the company to be proactive

What is an audit?

An audit is a comprehensive look at an employer's health and safety management system and should not be confused with an inspection system. Any responsible employer will have an internal inspection system and this inspection system will make up part of the overall health and safety management system.

Types of Audits

Baseline Audit

This is an informal audit. It is intended to be a preliminary review of an employer's health and safety management system. A baseline audit is not submitted to the AMTA for review unless it is an auditor's qualification audit and it cannot result in a COR being issued.

Certification / Re-certification Audit

This is a formal health and safety audit conducted by an EXTERNAL auditor for an employer who wishes to achieve or renew a Large Employer (more than 10 employees) Certificate of Recognition. To result in a COR being issued the overall audit score must be a minimum of 80% with no element(s) scoring less than 50%. In addition to this requirement, the quality assurance review score must be 80% or greater. If the employer has 1 or more years of documentation to back up their health and safety management system the employer will be granted a 3 year Certificate of Recognition. If the employer is new to the program, certifying for the first time, and has a minimum of 3 months records but less than 1 year, the employer will be granted a 1 year certificate and will be required to re-certify the following year to remain in the program. A large employer with less than 3 months of records will not be allowed into the program. There may be occasions where an employer is due for a recertification audit but has no active work sites. In this case an external auditor can perform a desk top review of the employer's health and safety management system and if found to still be acceptable, a 6 month COR will be issued. If this is the case, the employer will be required to re-certify in 6 months when hopefully, there is an active worksite where interviews and observations can also be carried out.

Maintenance Audit

This is a formal health and safety audit that is conducted by either an internal maintenance auditor or an AMTA certified external auditor. The purpose of a maintenance audit is to allow an employer to maintain their COR during years two and three of the three year COR cycle. A maintenance audit must score a minimum of 80% on the

quality assurance review, but at this time there is no requirement for a maintenance audit to meet any scoring requirement.

Limited Scope Audit

Should an audit score more than 70% with one or more elements scoring less than 50%, the employer can request a LIMITED SCOPE AUDIT. The request must come from the employer to the AMTA. The employer and the AMTA will look at what element(s) are weak and determine if it is possible to improve in the time available. If this is the case the AMTA may recommend a limited scope audit. If this is the case, the employer must develop and implement an action plan that can be completed in a timely fashion to allow the auditor the time necessary to perform the limited scope audit and submit the report to the AMTA within the allowable timelines.

Qualification Audit

A qualification audit is a formal health and safety audit conducted by an auditor candidate pursuing auditor certification. This can be either a baseline audit or a maintenance audit. The standard pass fail criteria apply to the quality assurance review.

Audit Methods – Group Audit vs. Team Audit

Group Audit

There are times when an employer owns more than one company (i.e. 2 or more WCB account numbers) and the companies operate with the same health and safety management system. In this case, the employer can apply to their Certifying Partner for a “Group Audit”. In this case the external auditor will add the companies in the group together to form what will be essentially one large company. Once

this is done the auditor will then determine the appropriate employee and site sampling size to ensure the audit is representative of the entire organization(s). A successful group audit will result in a distinct Certificate of Recognition being issued to each WCB account number in the group. It is important to note that new companies cannot be added to a group during a maintenance year. If an employer purchases a new company and would like to have it included in the group, a new re-certification audit will be required. Companies will be removed from the group if sold.

Team Audit

There may be situations where an organization is so large that one auditor may not be able to meet the strict timelines surrounding the audit process. When this is the case, the employer may make application to their Certifying Partner for a team audit. If this is the case, and the employer is in a certification / recertification year, the employer will be required to contract the services of more than one external auditor. If the employer is in a maintenance year and wishes to perform a team audit, the employer will be required to have enough internal maintenance auditors on staff.

An audit is considered to be a snapshot in time of an employer's health and safety management system. This is why there are strict timelines surrounding the process. An auditor has a maximum of 45 calendar days to complete all of the on-site activities involved in the audit process and a further 45 calendar days to complete and submit the report for quality assurance review. **REMEMBER** – These windows do not represent 90 days in total. When the first window closes the second one automatically opens. This means if you start and finish your on-site activities in 5 days, that 45 day window is now closed and you now have a maximum of 45 days to complete and

submit the final audit report. All on-site activity must be completed in the year the audit is for.

Key Terms

There are several key terms you will need to be familiar with to be a successful auditor. They are:

Audit: An audit of an organizations health and safety management system to compare it to an approved standard

Best Practice: An agreed upon method of conducting a specific task. This is usually established by industries, trades, or groups of peers

Code of Ethics: A statement that defines expected behaviours from an individual or group

Code of Practice: The selection of appropriate regulations and procedures specific to hazardous work

Competent Worker: A person, who is adequately qualified, suitably trained, and with sufficient experience to safety perform work without supervision or with only a minimal degree of supervision

Continuous Improvement: Always striving to innovate, implement, and improve on current conditions

Contractor: An individual or employer hired under contract to provide materials and/or services to another employer

Critical Job: A job with high potential for serious injury or loss

Data Collection: Documentation Review: Part of a health and safety audit designed to determine if an employer has the required

processes, policies, and procedures in place and if adequate records are being kept. **Interview:** a method used to gather and verify information concerning an employer's health and safety management system. This is primarily a formal in person discussion using a standard question set but can involve the use of questionnaires.

Observations: Part of a health and safety audit that allows an auditor to verify what he or she has read and heard during the documentation review and interview process.

Employee: Anyone who works for an organization (senior managers, managers, supervisors, workers)

Familiarization Tour: A brief tour of the worksite prior to starting the audit. The intent is to become familiar with the worksite and any areas that may require special caution. The auditor must be accompanied by an employer representative during this tour

Hazard: A situation, condition, or behaviour that the potential to cause an injury or loss. There are 2 kinds of hazards. A **health hazard** is one that results from exposure over time and will usually cause measurable changes in the body of a worker. A **safety hazard** is one which endangers the immediate safety of an employee.

Hazard Assessment: A process used to identify and evaluate the health and safety hazards associated with any job tasks. It provides a process for prioritizing health and safety hazards

Hazard Control: This is the method used to control the hazard. There are 3 types of hazard controls. They are:

Engineering Controls: This is the preferred method of control. It is at the source and eliminates the hazard

Administrative Controls: These must be used when engineering controls are not feasible. They are along the path and include things like safe work procedures and training

PPE: This form of control is at the worker. It does nothing to mitigate the hazard but does provide protection for the worker

Imminent Danger: In relation to any occupation imminent danger is one that is not normally present or it is a danger under which a person engaged in that occupation would not normally carry out the work

Incident / Accident: An undesired, unplanned, unexpected event that results in or has the potential to result in physical harm to a person or damage to property

Job Inventory: A comprehensive list of jobs and their associated tasks produced from a systematic review of all jobs and tasks in the work area

Legislation: Federal, Provincial, or Municipal government standards in the form of written acts, regulations, and codes

Manager: A person who administers and/or supervises the affairs of a business, office, or organization

Records: Employer documents retained on file

Risk: The chance of injury, damage, or loss

Root Cause: The underlying or basic factors which contribute to an incident. The root cause is often a failure at the management system level

Safe Work Practice: A written set of guidelines which establish a standard of performance for an activity or work process

Safe Job Procedure: A written, step by step set of instructions on how to perform a task from beginning to end

Unsafe Condition: A condition that, if left uncorrected, could result in injury or loss

Visitor: Any person present at a worksite that is not under the direct control of the employer

Worksite: A location where a worker is, or is likely to be, engaged in any occupation and includes any vehicle or mobile equipment used by a worker in an occupation

Worker: An employee who is supervised by a manager or supervisor

OHS Legislation

The workplace health and safety division promotes workplace health and safety through partnerships, education, and the enforcement of OH & S legislation. The Alberta Occupational Health and Safety Code is divided into 41 parts. All employers in Alberta are subject to the first 29 parts, with the remaining being industry specific. It is the responsibility of the employer to understand and apply all sections of the code that apply to their workplace. This is especially important because the Occupational Health and Safety Act, Regulations and Code are considered “Administrative Law”. What this means is that by merely not doing something required, you are guilty of an offence. As an employer, your only defence to a charge under the OHS Act is that of Due Diligence.

Failure to prove that you have been duly diligent in complying with occupational health and safety legislation can result in significant penalties. The penalty for a first offence in Alberta can be up to 6 months in jail or a \$500,000 fine, or both. For second or subsequent offenses the penalties double. While these costs are significant, the human and economic costs can be far greater in the event of an incident.

OHS legislation provides certain powers for OHS Officers. One of these is the ability to stop work at an employer’s worksite. It is important to realize that as an auditor you do not have this ability. If, during the course of your on-site activities you identify a situation of imminent danger, you have both a moral and legal responsibility to report the situation to a responsible person within the company who does have the ability to stop the work until the situation is rectified.

It is a good idea to undertake regular audits of the health and safety management system even if there is no external standard the

organization is trying to meet. Statistics clearly indicate that employers who do honest and fair audits of their program and then act on what the audit shows benefit in several ways, such as:

- Incident frequency is reduced
- Equipment damage is reduced
- Equipment wear and tear is reduced
- Employee morale is improved and turnover is reduced
- Compensation costs are reduced
- Productivity is improved
- The organizations reputation is enhanced

Your job as an auditor is to do everything possible to ensure the audit represents an accurate picture of the health and safety program, ensuring management understands the benefits of an accurate report.

Steps in the Audit Process

Pre-Audit Preparation

The purpose of the pre-audit preparation is to initiate the audit and ensure agreement on scope, timing, and sampling requirements. It provides the auditor with an opportunity to provide the employer with a list of the documentation to be reviewed as well as determining expectations about auditor appearance punctuality, and the use of PPE. This is also when you will determine what supplies and documentation you will need to bring as well as who the employer contact will be and where you will work. It provides an opportunity for the employer to inform staff and organize information so the audit can be conducted efficiently as well as providing an opportunity for the auditor to become familiar with the company.

The activities involved are:

- ✓ Pre-audit letter
- ✓ Establishing the sample size
- ✓ Audit registration with the AMTA

After an employer contacts an auditor (external or internal) the auditor needs to formalize a letter to the employer. This letter should be addressed to the most senior person at the site and a copy should be sent to the safety person if appropriate. A statement acknowledging the confidentiality of the information must be included in the letter.

The other items that must be addressed in the letter are:

- The date of the audit
- The purpose of the audit
- A request for a knowledgeable person to provide assistance
- A request for an organizational chart
- A request for a private workspace for the auditor
- A request for what PPE is required as well as any required job specific training

The letter must also explain the proposed schedule of activities that will occur:

- The date and time of the pre audit meeting
- A list of people who should attend the pre audit meeting
- The familiarization tour
- The documentation review
- The interviews with staff members including field staff
- The observation tour
- The post audit meeting
- The types of documentation and other information required

Pre Audit Meeting

The purpose of the pre audit meeting is to initiate the audit and ensure agreement of activities as well as timing. It is also when you will receive the requested documentation and finalize the sample size for both interviews and worksites. The attendees should include Senior Management, Safety Personnel, Department Heads, and other employees as applicable. Your activities include setting the agenda, holding the actual meeting, and the familiarization tour. The agenda topics should include:

- Introductions
- A review of the audit activities
- A review of the purpose of the audit
- Who is the owner of the audit
- Explanation and confirmation of the documents for review
- The organizational chart and site plans
- Timelines/Guidelines
- Confirm the number of employees and sites
- Explanation of the interview process and confirmation of the required number of interviews
- Discuss the auditors responsibilities in the event of imminent danger
- Determine who your primary contact will be
- Verify WCB account number(s) and industry code(s) that will be included in the scope of the audit
- An explanation of the audit instrument
- Auditors workspace
- A discussion of applicable regulations
- Company rules and safety procedures
- Who should attend the post audit meeting
- Confidentiality and ethics

It is important for you to take notes and invite questions. Never rely on your memory.

Familiarization Activities

While performing an audit it is important for the auditor to get a feel for the culture in which the organization operates. Understanding how the organization works will assist the auditor in providing useful suggestions for improvement. Familiarization activities can include:

- A review of the organizational chart
- A review of the description and/or plans of the areas to be evaluated
- A review of previous audits if you chose to do so
- A familiarization tour

It is important to know that a familiarization tour is NOT a full site tour. It is meant to provide the auditor the opportunity to become familiar with restricted areas, acceptable routes, procedures for entry, and identify any areas where special caution is required.

Documentation Review

The documentation review is extremely important. It is where the auditor can determine what the company has in place versus what is missing or is in need of improvement. You will need to allow for the time it will take to chase things down. For example, if while reading health and safety committee notes, you determine there has been an accident in the workplace, you will need to seek out and review all of the documentation associated with the accident. The documentation review will set the framework for what you will expect to hear during employee interviews and see during the observation tour. A minimum of one full year of documentation is required for a 3 year Certificate of

Recognition. It is the auditor's responsibility to ensure that the scope of the documentation review is representative of the organization. Your selection should be based upon:

Importance – review the safety policy, safety manual, completed reports as required by policy

Volume – make your selection based on volume. Make random and representative choices across the entire organization. Don't select 10% of the inspections from just one area. If there are monthly inspections in 5 areas, select a representative sample from each area. If you discover inconsistencies then you will need to significantly increase your sample size to determine where the breakdown occurred.

Interviews

The interview portion of the audit provides the auditor with the opportunity to determine if the health and safety management system is communicated to the employees and how well the program is implemented.

The interview questions are set out in categories for SENIOR MANAGEMENT, MANAGEMENT, SUPERVISORS, WORKERS, and CONTRACTORS. As an auditor you are required to determine how many interviews are required for each category based on the number of employees in the category and the relationship of the category to the whole organization. For example, if workers make up 65% of the organization, then 65% of your interviews must be worker interviews.

The questions are all numbered and provide verification for the audit question with the same number. It is critical that all questions are asked to ensure accurate scoring is applied. Listen carefully to the response as someone who says NO would mean they don't know or

have never heard of it and a non committal type answer could mean they are a new employee who has heard of it but is not yet familiar with it or their understanding is low. This can have a significant impact on your suggestion for improvement.

Prepare for the interview – You will need to schedule a convenient time and place to hold the interview. Be aware that you may be taking people away from critical tasks. Review the job description to help you get a feel for the basic duties of the person being interviewed.

Conduct the interview – Always arrive on time. Explain the process and stress confidentiality. Let the interviewee know that you will be taking notes, the interview is not a test, and the purpose is to verify findings from the documentation review. Listening skills are important as there are usually many ways of saying the same thing. You must also explain to the interviewee that the whole process will not take longer than 20 to 30 minutes. Ask for information such as job title and years of service. Remember, to be representative your pool of interviewees must include senior management, management, supervisors, and workers. When determining which workers to interview you must consider years of service, full time, part time, and casual workers. You must also consider how to ask the questions. While an auditor cannot change the intent of the question, you may find it necessary to reword the question so the employee understands. If there are shift workers they must be included in the interview sample. Summarize the information you have gathered and thank the interviewee for their time.

If an interviewee becomes hostile or reluctant do not be drawn into a confrontation, simply close out the interview, thank them for their time and select another interviewee to replace them. Not all interviewees will have positive remarks. It is your responsibility to listen to all sides

and points of view, however, do not let the interviewee use this time for personal agenda items.

Record the results

Record the interviewee's title, job description, and years of service. You also record the most important information. You do not need to record every detail. Document the type of response (positive, negative, non committal) during the interview. If additional notes are required be sure to write them down as soon as possible after the interview to ensure accuracy.

Informal interviews may occur at any time during the observation tour. Always take the time to chat but remember to keep worker comments confidential. Informal interviews are used to verify information but they are insufficient to be counted as a formal interview.

Questionnaires

Questionnaires are useful in situations where workers are highly transient or the number of interviews is very large. Questionnaires can only be used for worker level interviews. They cannot be used for senior manager, manager, or supervisor level interviews. Privacy is essential so the completed questionnaires must be returned to the auditor in sealed envelopes. If you use interview questionnaires they must be filled out in a controlled environment. You must observe the group to ensure there is no talking and each interviewee gives their own answers.

If you determine that you will need to use questionnaires, you must contact the AMTA to request permission. We will require you to tell us how many you plan to do and what the overall percentage is.

In a perfect world interviews would only serve to verify what the company documents have already described. In reality, you may find through talking to people that a crucial part of the program you thought was missing from your review of the documentation is in fact there. Perhaps it is not documented very well or maybe you missed the documents. If the documentation is missing but the element is in place, you may need to make a suggestion for improvement that involves improving the documentation trail rather than reworking the entire element. The opposite may also be the case.

Employers must be able to compensate for a lack of documentation, particularly with their first audit. This is why “suggestions for improvement” are critical to a good report. As an auditor you must be able to make suggestions for improvement that are relevant to the deficiency as well as being actionable.

Observation Tour(s)

This is an accompanied tour to further verify what you read in the documentation review and what you heard during the employee interviews.

The questions you must address before the observation tour is initiated include:

- ✓ Who will accompany you?
- ✓ What will you address during the tour?
- ✓ What types of hazards might you encounter?
- ✓ What are the key areas for your review?
- ✓ Are all of the elements of the audit protocol appropriate and applicable?
- ✓ What types of documentation are you going to request / evaluate during the tour and why?

- ✓ What sort of information can you obtain from the various types of documentation that you will be able to verify during the tour?
- ✓ Have you brought the necessary PPE to wear during the tour and do you have the required certifications to be on site? i.e. first aid, H2S, WHMIS, etc.

Part of the observation tour involves looking for existing hazards. For the purpose of audits hazards can be broken down into three categories:

CLASS “A” Hazards – these pose **imminent danger** and must be dealt with immediately. Work should be discontinued until the hazard controls are adequate.

Class “B” Hazards – have the potential for injury but have consequences less severe than those in Class A. These types of hazards should be addressed within 48 hours.

Class “C” Hazards – have the potential for an incident or equipment damage with no permanent results. These include minor injuries, first aid, near misses and housekeeping problems. These types of hazards should be addressed within one week.

As an auditor you have a legal and moral obligation to address any situation that poses imminent danger. The auditor does not have the authority to stop work in another employer’s workplace; however the auditor must ensure someone that does have authority addresses the situation immediately. Ignoring imminent danger is never an option.

Your observation tour activities will involve the following:

Determine what areas you will tour. This is based upon the sample size for worksites as well as the results of your documentation review and interview results. You also need to consider expected hazards as well as applicable legislation. You are required to have an understanding of the minimum requirements required by legislation so you can determine if the employer is in fact in compliance. For example, it is important for you to know what the requirements for first aid supplies are so you can determine compliance. What are the requirements for fire extinguishers and are they in compliance? Take good notes as you are required to fully explain what you saw in terms of supplies and facilities in your auditor notes. Do not hesitate to talk to the people you encounter to help you verify your findings. It is important to remember that these informal interviews do not make up part of the formal interview process.

You are required to tour all of the facilities and worksites as determined by the scope of the audit. Based on your documentation review and the results of your interviews there will be key areas you will want to focus on. Clearly, you will want to observe anything that still requires verification such as is the health and safety policy really posted and is it being followed consistently.

You are required to make additional general observations to ensure you are able to complete the "Additional Facility Tour Notes" at the end of the audit report. The general facility tour notes are best presented by area in a bulleted format. These notes are a value added for the employer and exceed the audit requirements; however, they can help to verify if the sites are being maintained to the expected company standard.

Be positive. Do not focus on ONLY the things that are not in compliance. When you see things being done well, be sure to include them in your report as a positive.

Remember, the purpose of the observation tour is to get an overall indication of the degree compliance with the standards. Do not try to check every possible situation. The idea is to match policy with action. You are looking for things like:

- Compliance with procedures
- Verification that the training, compliance, and corrective actions follow the documented version
- How is health and safety communicated
- Issues that were noted in the interviews such as guarding not in place, unsafe movement of equipment, etc.

Always remember that you are an auditor who is there to evaluate the employer's health and safety management system. You are not an inspector or compliance officer.

Post Audit Meeting

Once you have completed all of the on-site data gathering activities you will need to hold a post audit meeting where you will summarize the on-site activities of the audit and communicate the audit findings to the employer. Just like the pre-audit meeting you will need to prepare an agenda and set a time and location for the meeting. If at all possible, the same people who attended the pre-audit meeting should be in attendance. When you conduct the meeting you will want to:

- State the purpose of the meeting
- Review the audit data gathering activities

- Highlight existing positive efforts and strengths
- Give some suggestions for improvement – key in on the most urgent
- Ask for questions
- Explain what will happen next
- Close on a positive note

Allow yourself plenty of time to bring together key strengths and key suggestions for improvement prior to holding the meeting. Always make sure you have notes if you are going to verbally present an overview of your findings. Never rely on memory. Take the time to think of what questions will come as a result of your comments and have your answers ready. Always start by letting them know that the scoring is not complete and when it is, the report will have to be submitted to the AMTA for quality assurance review prior to its final release. Inform them that an action plan is now required to address all of the deficiencies in the audit and reinforce the importance of documenting corrective actions. You should tell the employer where they are in the audit cycle so they can begin to plan for next year. It is very important to start and end on a positive note.

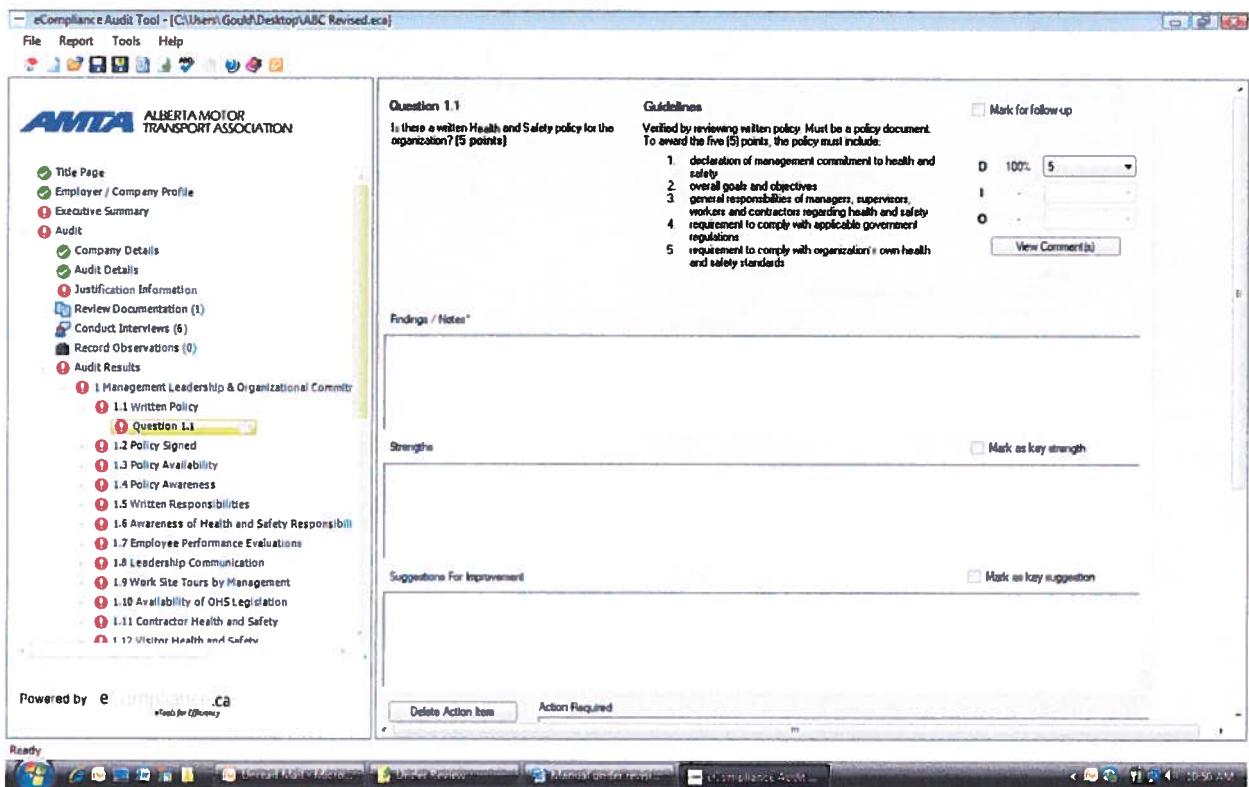
Always remember to take notes as there will likely be items brought up during the meeting that you will need to address in the final report. Never rely on your memory.

Writing the Report

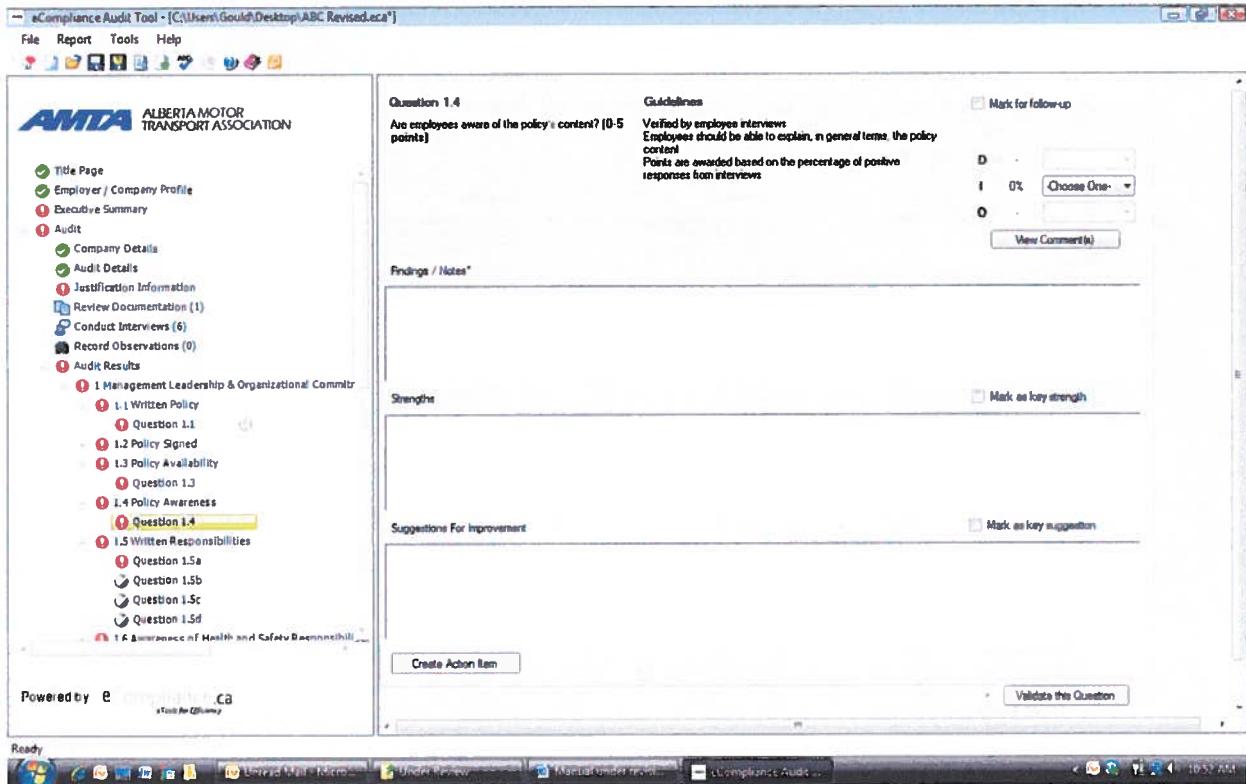
The purpose of the final report is to summarize all of your activities and findings and gives you the opportunity to provide positive feedback (program strengths) as well as suggestions for improvement. The program strengths are extremely important as without them the report may be viewed in a negative light and little or no action may come from it.

When writing the final report you will need to review all of the information you have collected and determine the score for each question. **At this point it is very important that you have a good understanding of the types of scoring that are allowed. They are:**

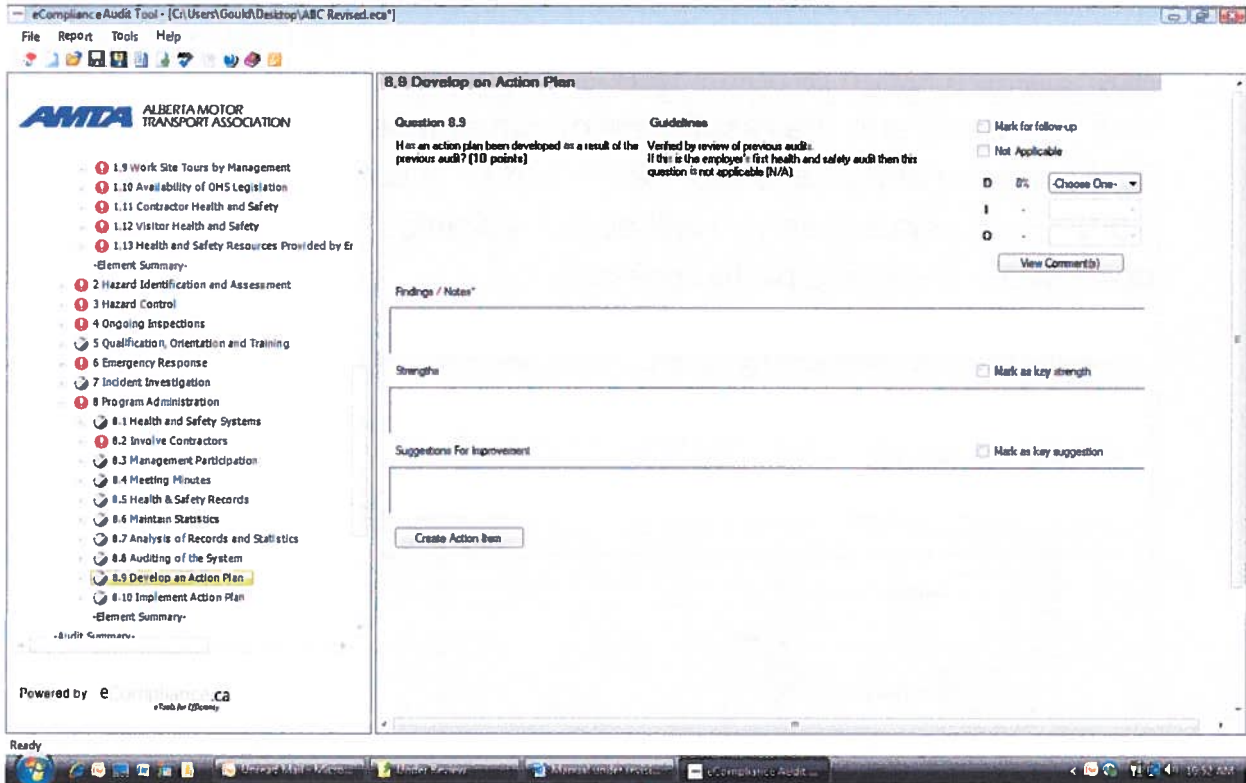
All or nothing – in this case the company must achieve a minimum of 70% positive indicators unless a greater percentage is required by the instructions. The auditor must determine that at least 70% positive indicators can be verified and if this is the case, full points can be awarded. If a minimum of 70% positive indicators cannot be verified by the auditor, then 0 points are awarded. You must be aware that some questions will require 80% or 90% positive indicators for points to be awarded.



Range of points – in this case, points are awarded based upon the percentage of positive indicators. In this case, you determine what the percentage of positive indicators is and then you award points accordingly. For example, if you determine there are 80% positive indicators and there are 20 points available, you would award 16 points. (80% X 20 points = 16)

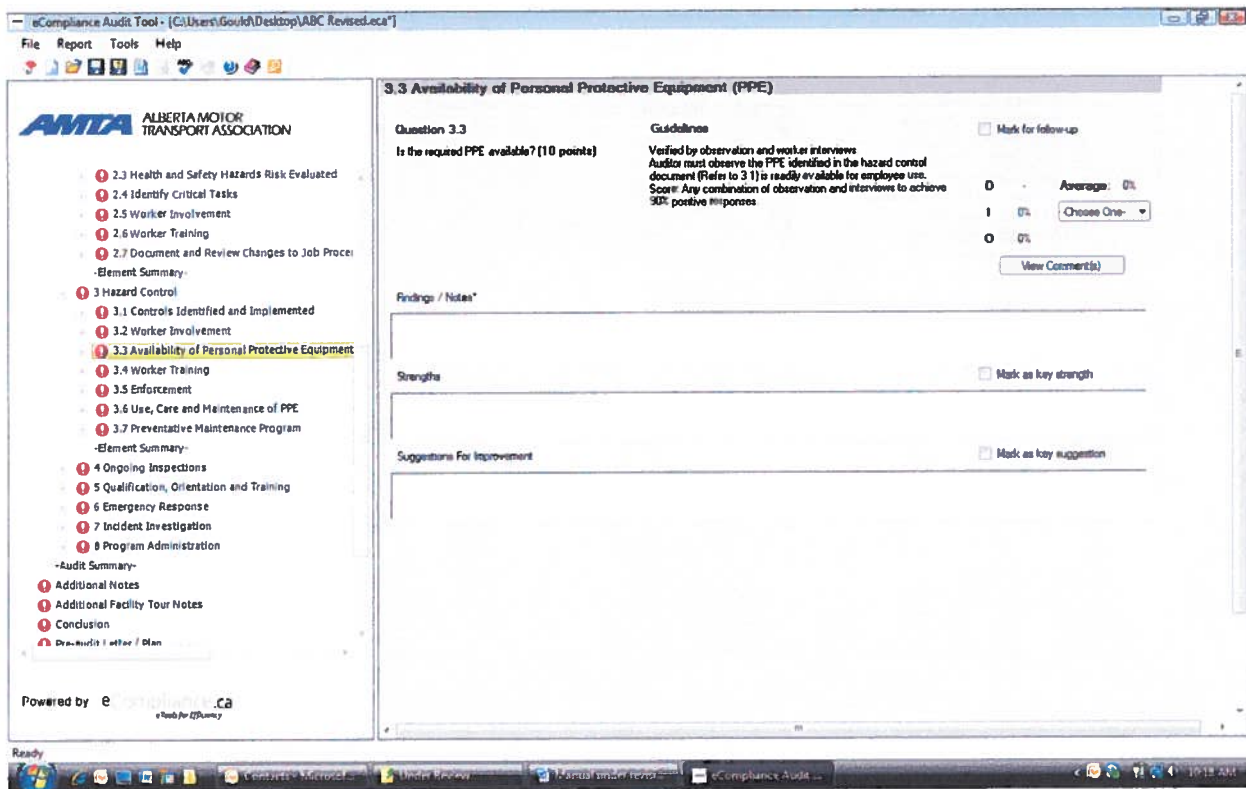


Not applicable – this is used very infrequently and must be fully explained in your auditor notes. If this is the case, the points for the question are then deducted from the total points available in the element.



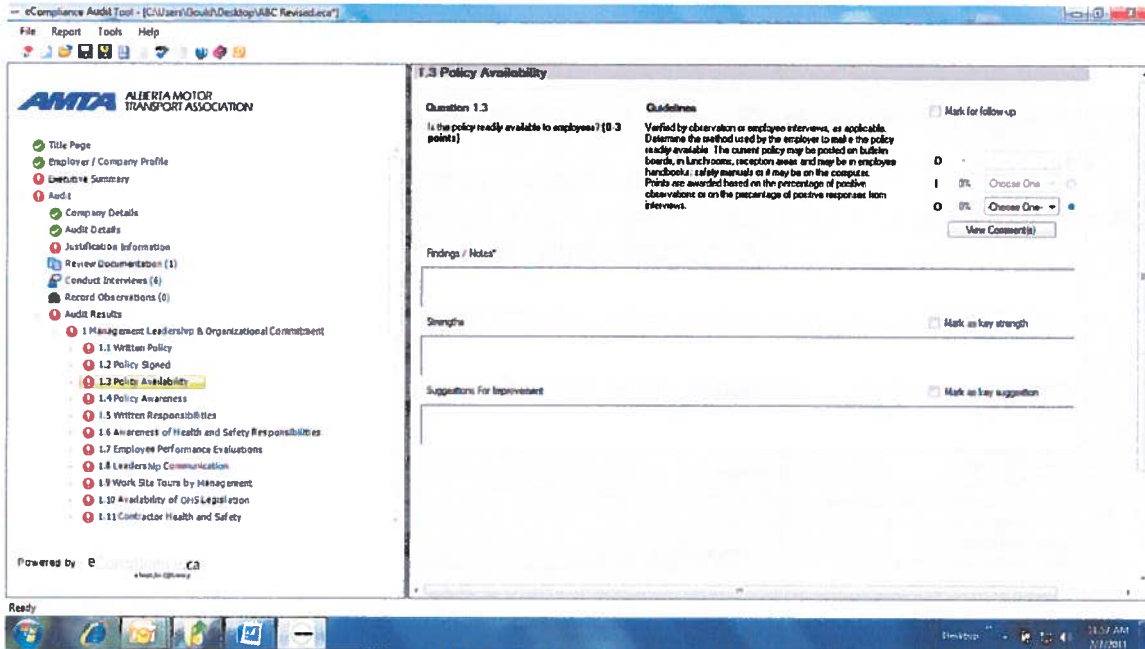
Questions with multiple validation methods

There are some questions in the audit that require 2 validation methods. If the question states that it is to be validated by employee interviews **AND** observations, then the 2 results must be averaged to determine the final score to be used when awarding points. For example, if a range of points question requires documentation review and interviews and the results are documentation 85% and interviews 91% then the average is $(85 + 91 = 176 / 2 = 88\%)$. If the question is worth 0 – 5 points then you will award 4 points. Always round up or down when awarding partial points.

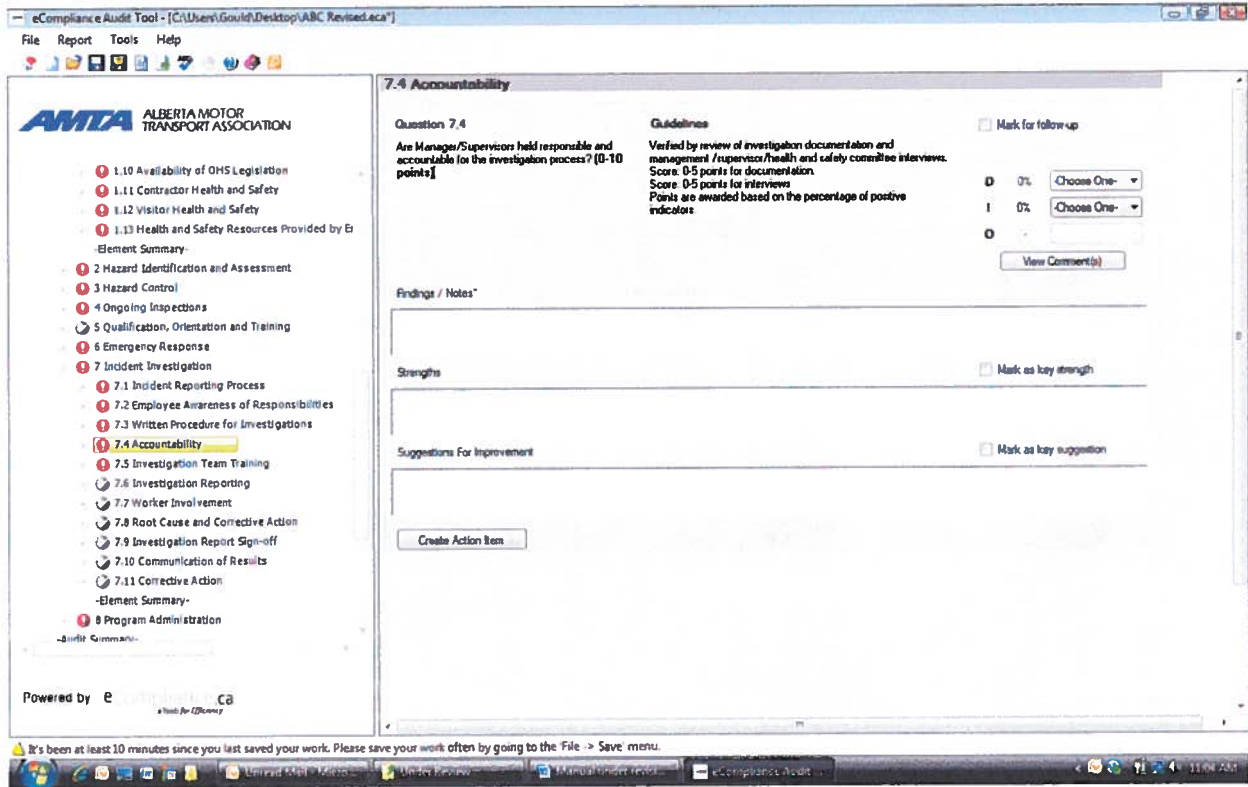


There are also questions that will ask you to verify the results based upon one validation method OR another. For example a question may ask you to validate something based upon observation OR interviews. In this case you are to pick the method that scores the least. In this case if observation scores at 100% and interviews at

75% then you are required to score the question based upon the 75%. The reason for this is if you score the question based upon the 100% observation then the lack of communication will be glossed over and nothing will be done to correct the situation.



There are other cases where a question will require 2 validation methods and you will be asked to score each validation method separately. In the example below you are asked to validate based upon 0 – 5 for documentation and 0 – 5 for interviews. If documentation is 90% and interviews are 75% you would award 5 points and 4 points respectively.



All questions in the audit report require good auditor notes that are of sufficient quantity and quality that they fully justify the score awarded. This is very important because if the reviewer determined the notes do not fully justify the score awarded, the report will be returned to the auditor for corrections.

If partial or no points are awarded, you must make a suggestion for improvement. If you award all points in an all or nothing question but the positive indicators are less than 100% (an all or nothing question scored 80% positive indicators so you awarded all 5 points) then you are required to make a suggestion for improvement.

The audit report is the heart of the audit process. All questions must be scored and we cannot stress enough the importance of the fact that you must fully justify the score awarded in your auditor notes. Auditor notes that say something like "100% of interviews verified that, therefore full points were awarded does not tell us anything and will be sent back for clarification or rejected. The auditor notes must clearly state what you read, heard, or saw, that allowed you to award the points. It is not enough to say that something is verified, you must give examples.

When writing the final report it is very important that you identify program strengths as well as opportunities for improvement. When you see something being done very well be sure to include it in your report as strength. Failure to do this can result in the report being viewed in a negative light. The identification of program strengths is just as important as making good, actionable suggestions for improvement.

When you begin to write your final report you will need to review all of your notes and any other information you have collected. By now you are familiar with the electronic audit tool used by the Alberta Motor

Transport Association. This electronic audit protocol was developed to remove some of the tedium from the audit process and allow you to concentrate on what is important. You will note that as you performed your onsite data gathering activities and entered your findings into the program it automatically calculated the percentage of positive indicators. It also has a built in scoring summary which eliminates the opportunity for the auditor to make mistakes.

The final audit report that you submit to the AMTA for quality assurance review is divided into 3 primary headings with several sub headings. These headings are:

Executive Report

- ✓ Company / Audit Details
- ✓ Auditor Information
- ✓ Justification Information
- ✓ Employer / Company Profile
- ✓ Executive Summary

Audit Report

- ✓ Audit Results
- ✓ Audit Scoring Summary
- ✓ Additional Notes
- ✓ Additional Facility Tour Notes
- ✓ Conclusion

Appendices

- ✓ Pre-audit Letter / Plan
- ✓ Suggested Documentation
- ✓ Auditor Disclaimer
- ✓ Pre-audit Meeting Agenda / Notes / Attendance Record
- ✓ Additional Information
- ✓ Action Plan Summary Report (if applicable)
- ✓ National Safety Code Worksheet (if applicable)

Executive Report

Company / Audit Details – this is where you enter all the company information including the legal company name as registered with WCB as well as any applicable trade names. It is also where you will set the scope of the audit by entering in all WCB account numbers and industry codes. Please be very careful when doing this to make sure that all WCB account numbers and industry codes that were included in the certification audit are included here. Any accounts or industry codes that are left out in error will not be considered as part of the audit and will be removed from the certificate resulting in a loss of PIR refund to the company. It is also important to note that you cannot add any account numbers or industry codes that were not in the original certification audit. If you need to do that, a new external certification audit will be required.

Auditor Information – This is where you enter in all of your auditor information such as name, address, contact information, and your auditor certification number. This is also where you enter all of the audit details such as audit purpose (certification, maintenance, recertification, etc.), the audit scope (full or limited scope), operations audited (all operations or site specific), organizations audited (single

company or group audit), auditor team information if applicable and the audit start, completion, and submission dates.

Justification Information – This is where you tell us how many sites the company owns and where they are, as well as how many of each category of employees work there (senior management, management, supervisors, full time workers, part time workers, casual workers, contract workers, and contractors). This is also where you tell us if the company runs multiple shifts, verify that all shifts are represented in your interview sample, and verify that your interview sample is representative of all departments.

Employer / Company Profile – The purpose of the company profile is to give us a complete explanation of who your company is, what sort(s) of work you do, the size of the company, number of locations, the number and category of employees that work at each location. As a minimum, it should tell us the full legal name of the company and any applicable trade names, the date of inception / incorporation, the name of the owner(s) / President or CEO, the number of employees, the type(s) of work you are involved in, the type(s) and amount of equipment the company owns or controls and anything else that is helpful in giving the quality assurance reviewer a feeling for your company.

The final section of the Executive Report is the Executive Summary. This is where you list 2 or 3 main strengths of the health and safety management system along with an equal number of suggestions for improvement. The Executive Summary must be well written with a minimum of grammar or spelling errors. Remember to sign off on the Executive Summary.

Audit Report

The next section of the report is the actual audit results. This is the main section of the overall report where you award points and provide program strengths and suggestions for improvement. Any time you award less than full points OR you award full points but there is less than 100% positive indicators, you are required to provide a relevant and workable suggestion for improvement. You are required to make the suggestion, provide some insight into how it can be accomplished, and explain why it is important to the company. Your auditor notes must fully justify the points you have awarded. If they do not, the report will, at the very least, be returned to you for corrections. In the worst case, it may cause the report to fail the quality assurance review and be rejected. It is very important that you clearly identify areas where the company is performing well. These areas of strength need to be brought forward into the executive summary.

The scoring summary for the audit report has been automated and it will be calculated for you.

If the final report is the result of a team audit, it must be signed by the lead auditor and there must be complete disclosure of all other team auditor information as well as a complete description of their activities.

When you generate your final report it will follow a standard format and this will assist the quality assurance reviewer when they review your report. The final report must follow all Partnerships standards so if you have any doubts please contact the COR department prior to submitting your audit report.

Appendices – listed on page 37 above and must be included as part of your final report

Quality Assurance Process

So now that you have completed and submitted your report to the AMTA what can you expect to happen next? The first step in receiving your audit is called tracking. This is where the reviewer will verify the following to ensure you have followed the guidelines:

Timelines: Partnerships Standards allow you a maximum of 45 calendar days to complete your onsite data gathering activities. This clock is started when you complete your site familiarization tour. From that point on you must complete all of the documentation review, interviews, and observations within the 45 day timeframe. **The one exception to this rule is that you must complete all on-site data gathering activities in the calendar year of your audit. For example, if you start your 2011 maintenance audit on December 1, you will only have until December 31, 2011 to complete the on-site data gathering activities. If you continue on into January 2012 then the audit will be considered to be a 2012 audit and it will fail due to the fact there was no 2011 audit.** Once you have completed your onsite data gathering activities you have an additional 45 calendar days to complete and submit your report to the AMTA main office located at:

Alberta Motor Transport Association
285005 Wrangler Way
Rocky View, AB T1X 0K3

If either of these timelines is exceeded then the report is rejected as not being on compliance with Partnerships standards.

The next thing the reviewer verifies is that you have completed the appropriate number of interviews and site visits. This is very important because failure to perform the correct number of interviews or site visits will result in the report being rejected. It is extremely important that you ensure your interviews are representative of the organization. This is why the standards provide you with a MINIMUM interview sample size.

EXAMPLE

Let's say you have a company with 74 employees. According to the interview sampling table you are required to perform a minimum of 20 interviews. The employee workforce breaks down as follows:

1 Senior Manager
3 Managers
12 Supervisors
58 Workers
74 Total

To ensure that your interviews are representative you need to calculate what percentage each category is of the whole. To start we have:

1 Senior Manager

$$1 / 74 = .014 \qquad 20 \times .014 = .28 \text{ which you round up to } 1$$

Clearly we cannot do .28 of an interview so this one will count as 1 of the 20.

Next, we have 3 Managers

$$3 / 74 = .04$$

$$20 \times .04 = .8 \text{ which you round up to } 1$$

We cannot do .8 of an interview so you will be required to do a minimum of 1 interview at the manager level.

Now, we have 12 Supervisors

$$12 / 74 = .16$$

$$20 \times .16 = 3.2 \text{ which you round up to } 4$$

To ensure your interviews are representative you will need to do a minimum of 4 interviews at the supervisory level.

Now we have 58 workers

$$58 / 74 = .78$$

$$20 \times .78 = 15.6 \text{ which you round up to } 16$$

To ensure your interviews are representative you will need to do a minimum of 16 worker level interviews.

From this simple example we can determine that you need to do a minimum of 22 interviews to be representative.

1 Senior Manager

1 Manager

4 Supervisors

16 Workers

22 Total Interviews

As an auditor it is your responsibility to verify that you have met the timelines for onsite data gathering activities and report submission. It is up to you to verify that we have received your report within the timelines allowed. You must be sure that you have provided a complete report including auditor notes that fully justify the scores you have awarded as well as program strengths and realistic suggestions for improvement; and you must be fully prepared to defend your results. It is also your responsibility as an auditor to respond to requests for corrections / clarifications within the time allowed.

Failure to comply with all of your accountabilities can result in the report being rejected and this will cause the company to lose their COR.

Once the report has been successfully tracked, it will be reviewed for quality assurance. The reviewer will carefully read the report and check for the following:

Scores are applied according to audit instructions / guidelines –

The reviewer will verify that the audit scoring for each question is applied according to the instructions. A point is deducted for every question where scoring is not applied correctly. In this instance the reviewer is looking for cases where the auditor may have awarded partial points for an all or nothing question or vice versa.

Validation methods applied as per the instructions – The reviewer will verify that the auditor used the correct validation method to evaluate and score each question. A point is deducted for every question where the wrong validation method was used to score a question.

For each question, notes adequately justify the scoring, and there is consistency between the notes and the score awarded – The reviewer will verify that the auditor’s notes are of sufficient quality and quantity to fully justify the score awarded, and that the notes address the intent of each question.

No contradictions exist between one question and another – The reviewer will verify that the notes or score for one question do not contradict the notes or score for another question within the same element. If a contradiction is found, the reviewer will deduct 5 points from the total element score for **each** question affected by the contradiction. **This means a minimum of 10 points are deducted if a contradiction is identified.**

Program strengths are noted for the element and are appropriate to the notes and scoring – The AMTA uses an audit protocol that requires the auditor to bring forth program strengths in each question where it is applicable and for the main strengths to be noted in the Executive Summary. Rather than deducting points for program strengths you are awarded points based upon the following criteria:

<u>Points</u>	<u>Guidelines for Scoring Strengths</u>
0	No strengths are given
0	Strengths given are not relevant
0	Strengths are given but are not clear
5	Strengths are given but based upon notes and scoring more should be given
10	Strengths given are clear and appropriate to the notes and scoring

Suggestions given are clear and actionable and appropriate to the notes and scoring – The AMTA uses an audit protocol that requires you to make a suggestion for improvement each time full points are not awarded or, in the case of an all or nothing question, full points were awarded but the percentage of positive indicators was less than 100%.

As with strengths, points are awarded based upon the following criteria:

<u>Points</u>	<u>Guidelines for Scoring Suggestions for Improvement</u>
0	No suggestions are given and the auditor's notes have identified issues that should be addressed
0	Suggestions given are not relevant to the notes / scoring, or are not relevant to the question
5	Relevant suggestions are given but are not actionable or clear
10	Suggestions given are appropriate to the notes and scoring, and a minimum of 50% of suggestions are clearly written and actionable
10	Overall suggestions given are clear and actionable but notes/score indicate that additional suggestions are required
15	Suggestions given are appropriate to the notes and scoring, and a minimum of 75% of suggestions are clearly written and actionable

- 15 Overall suggestions given are clear and actionable but notes/score indicate that an additional suggestion is required
- 20 An appropriate number of clear and actionable suggestions are given and they are appropriate to the notes / scoring. The suggestions add value for the employer
- 20 No suggestions were given since the element was scored at 100% and the notes indicate that no health and safety issues were identified

Once the reviewer has completed the evaluation of all of the audit elements, a final evaluation is made of the overall report. At this point the reviewer will consider the following:

No contradictions exist from one element to another – The reviewer will verify that the auditor has not recorded results in one element that contradict findings in another element. If such a contradiction is discovered, 15 points are deducted from the overall QA score for each contradiction identified. You will not be deducted points here for contradictions found within elements as you will have already been penalized for that.

Element score is calculated incorrectly –this function has been automated in the electronic audit tool so this is no longer a concern.

Report has a minimum of grammar and spelling errors – The reviewer will verify that the report meets a minimum standard for grammar and spelling. The “minimum” standard requires that the report read clearly enough to be of value to the employer, and to ensure the authority of the report will not be brought into question.

There is no expectation that a report will be completely free of spelling or grammar errors.

Executive Summary contains key suggestions for improvement and key program strengths – You must ensure the Executive Summary contains a list of key strengths and key suggestions for improvement. The reviewer will verify that this requirement has been met, and that the strengths and suggestions noted reflect the findings of the audit. The same guidelines previously noted are used here.

Summary score sheet accurately reflects overall scores – This process has been automated in the electronic audit tool so this is no longer a concern.

Auditor Certification

To gain certification as an auditor with the AMTA, the candidate must successfully complete the Transportation Safety Basics course and Auditor Training. Within 6 months of completing the auditor training the candidate must submit an audit to the AMTA for quality assurance review. Once this audit has successfully passed the quality assurance review the candidate will be granted status as an auditor with the AMTA for a period of 3 years.

To maintain your certification as an internal auditor you must submit 2 audits in the 3 year period as well as attend a one day auditor re-certification course.

To maintain certification as an external auditor you must submit a minimum of 1 audit per year as well as attend a one day external auditor update session.

Any auditor who allows their certification to lapse can be reinstated based upon the following guidelines:

If an auditor allows their auditor certification to lapse but attends the one day re-certification course within 6 months of the lapse, the auditor will be reinstated.

If an auditor allows their auditor certification to lapse and attends the one day re-certification in months 7 to 12 of the lapse, the auditor will be required to submit an audit for quality assurance review prior to being reinstated.

If an auditor allows their certification to lapse for more than 1 year, he or she will be required to successfully complete the full auditor training course and submit an audit for quality assurance review.

Auditor Code of Ethics

Partnerships standards require all auditors to read, understand, and sign off on an auditor code of ethics. Following is an excerpt from the Partnerships standards manual.

- 2.5.1 The Auditor Code of Ethics applies to all certified auditors using all audit types.

- 2.5.2 The following criteria apply to all audits conducted for certification and recertification purposes:
 - 2.5.2.1 The auditor or a member of the auditor's corporate group (defined as auditor consulting firms or auditor professional corporations working in partnership arrangements) has not helped to build, establish, implement, advise, consult, or help maintain the employer's health and safety processes at any time during the twelve-month period preceding the audit.

 - 2.5.2.2 The auditor or a member of the auditor's corporate group has not been employed by, or been in a direct contractual relationship with the employer within the twelve-month period preceding the audit, except for offering the following types of services:

2.5.2.2.1 standard AMTA developed training courses

2.5.2.2.2 other generic training courses (in either group or individual employer settings),

2.5.2.2.3 other services not directly evaluated by the audit instrument (e.g. audiometric testing).

2.5.2.3 The auditor or a member of the auditor's corporate group has no personal relationship (e.g. family members, close personal friends) with any key employees or members of the management group at the operation audited where that relationship may be perceived to influence the results of the audit.

2.5.2.4 The auditor must not make audit recommendations with the intent to market; or to justify the purchase of additional business services from either the auditor or a member of the auditor's corporate group.

2.5.2.5 "Cross-audits" are prohibited in all auditing scenarios. (A cross-audit situation occurs when, in the same calendar year, a certified auditor from Company A conducts an audit of Company B, and a certified auditor from Company B

conducts an audit on Company A.)

2.5.2.6 A certified auditor from a peer audit system must not audit the principal(s) or prime contractor their employer is working for at the time of the audit.

2.5.3 In COR maintenance years, certified auditors may both develop and audit an employer's health and safety program.

2.5.4 The following criteria apply to all audits types (including audits conducted for certification, maintenance, and recertification purposes:

2.5.4.1 Confidentiality: Auditors must ensure that confidentiality is maintained for all information obtained through the audit process and must not be disclosed to parties other than the employer and AMTA, except where the auditor is authorized or otherwise legally obligated to disclose the information. Auditors must always maintain the confidentiality of the interview process.

2.5.4.2 Professional Conduct: An auditor must behave in such a manner that will ensure their good faith and integrity will not be called into question.

- 2.5.4.3 Diligence: Auditors must act in good faith, responsibly with due care and competence, and without misrepresenting material facts or allowing a compromise to their independent judgment.
- 2.5.4.4 Accuracy: Auditors must be accurate and consistent in their evaluations of data obtained through documentation, interviews, and observation.
- 2.5.4.5 Completeness: Auditors must ensure their evaluations are complete, and avoid any omissions relevant to the scope of the audit.
- 2.5.4.6 Clarity: Auditors must ensure that both their suggestions for improvement and other notes and observations are clear, concise, reflective of the audit findings, and written in plain language.
- 2.5.4.7. Honesty: Auditors must be honest in their assessment of the employers' workplace health and management systems and in their dealings with all persons involved in the audit.

2.5.4.8 **Objectivity:** Auditors must separate facts from opinion and not allow personal feelings or prejudices to affect their evaluation. Auditors must base their evaluations on objective and measurable data, and not subjective opinions or auditor assumptions.

2.5.4.9 **Relevance:** Auditors will ensure their recommendations are relevant to the employers' operations, meet the standards of the audit instrument, and add value to improving the employer's health and safety management system.

2.5.4.10 **Timeliness:** Auditors will ensure that audits comply with all required timelines for audit completion, submission, and corrections.

2.5.4.11 **Corporate Opportunity:** Auditors are prohibited from using either the employer's or the AMTA's intellectual property or information for personal gain (including for the gain of family members or friends).

2.5.4.12 **Duty to Report:** If an auditor encounters a situation where another auditor(s) may have violated the Code of Ethics, or engaged in unethical audit practices, this must be reported to AMTA immediately.

2.5.4.13 **Compliance with Partnerships Standards:** Auditors must follow all auditing and quality assurance standards as established by AMTA and Partnerships.

2.5.4.14 **Compliance with Legislation:** Auditors must comply with all applicable laws, rules, and regulations of federal, provincial, and local governments, and appropriate private and public regulatory agencies.

2.5.5 All auditors must sign an agreement stating they are bound to the Auditor Code of Ethics. The auditor must sign an agreement upon auditor certification, and at any subsequent recertification.

Discipline for Auditor Code of Ethics Violations

The Certifying Partners have agreed to implement a common standardized disciplinary process to ensure auditor behavior and performance are consistent. As a result, the AMTA has implemented the following disciplinary processes to ensure Auditor Code of Ethics violations are consistently applied.

2.6.1 The AMTA may become aware of a potential breach of the Auditor Code of Ethics through an AMTA investigation, or information received from an auditor, employer, or other individual.

2.6.1.1 Concerns submitted from outside parties must be in writing, outline the rationale for the concern, and signed by the person submitting.

2.6.2 When the AMTA is concerned that an auditor may have breached the Auditor Code of Ethics, the AMTA will conduct a review into the matter and consider all the available facts and concerns of the affected parties.

2.6.2.1 The AMTA must document the review, and the findings retained in the auditor's file.

2.6.2.2 If the initial review indicates that a breach is likely to have occurred, the AMTA will initiate the disciplinary process for Code of Ethics violations.

2.6.3 The AMTA has established a two-level process to deal with alleged breaches of the Auditor Code of Ethics.

2.6.3.1 Level One of the process requires AMTA to conduct an informal meeting or telephone discussion directly addressing the concerns with the auditor.

2.6.3.1.1 AMTA will allow the auditor to respond to their concerns.

2.6.3.1.2 AMTA will communicate the decision and rationale to the auditor in writing within 14 days of the meeting or telephone call.

2.6.3.2 Level Two of the process provides the auditor with an opportunity to challenge the decision of the AMTA made at Level One and to request a formal meeting with the AMTA.

2.6.3.2.1 The auditor must make a written application to AMTA for a formal meeting (initiating Level Two) within 14 days of being notified of the original decision.

2.6.3.2.2 The application must include the auditor's reasons to support their position.

2.6.3.2.3 The AMTA must hold the formal meeting with the auditor within 30 days of receipt of the written request.

2.6.3.2.4 AMTA must be represented at the formal meeting by their most senior administrator of the COR program (or delegate).

2.6.3.2.5 AMTA must allow the auditor to present reasons to support his/her position.

2.6.3.2.6 AMTA must communicate the decision and rationale to the auditor in writing within 14 days of the formal meeting.

2.6.4 AMTA will select the penalties for Auditor Code of Ethics violations from the Partnerships Standards for disciplinary actions. The severity of the penalties for the auditor will depend upon the circumstances; the severity of the breach; and whether the auditor has committed previous infractions of the Auditors Code of Ethics.

2.6.5. The *severity* of an auditor's infraction of the Auditor Code of Ethics is determined using the following guidelines:

2.6.5.1 Minor infractions include:

- first time violations of the Auditor Code of Ethics.
- issues where the audit findings are basically unaffected, but aspects of the auditor's conduct do not meet the intent of the Code.
- Note: issues involving a compromise of the integrity of the audit findings, confidentiality of the audit, or where the

auditor has made unauthorized use of the intellectual property of the employer or AMTA will be automatically considered as either a significant or serious infraction.

2.6.5.2 Significant infractions include:

- second time violations of the Auditor Code of Ethics.
- depending upon the seriousness of the situation, a first time violation may also be considered a significant infraction.

2.6.5.3 Serious infractions include:

- third time violation of the Auditor Code of Ethics.
- depending upon the seriousness of the situation, a first or second time violation may also be considered a serious infraction

2.6.6 Any time that an auditor is suspended for a period of six months or more, AMTA will notify all Certifying Partners regarding the name of the auditor and the length of the suspension.

2.6.7 All auditors must sign an agreement stating they will be bound by the standard for Auditor Discipline for Code of Ethics Violations. The document will include the following specific requirements.

2.6.7.1 Auditors must acknowledge that AMTA will notify all Certifying Partners if suspended for a period of six months or more through the disciplinary process.

2.6.7.2 Auditors must sign a waiver stating they will not pursue legal action against any decision maker(s) or AMTA because of the application of the Auditor Discipline Policy.

Optional Processes

The AMTA offers the following optional processes:

Use of questionnaires in lieu of interviews: Partnerships standards allow for the use of questionnaires in lieu of face to face interviews for up to 50% of the worker level only interviews. The auditor is required to obtain permission from the AMTA prior to starting the audit. You will need to tell us how many worker level interviews are required in total, how many you plan to do as questionnaires, and what the percentage is. When interviews are used, they must be done in a controlled environment with the auditor acting as moderator to prevent talking.

One Year Certificate of Recognition: An employer who is new to the program and has less than one year of documentation to support their health and safety management system may be granted a one year COR. If this is the case, the employer will be required to re-certify the following year. The following conditions apply:

A large employer who is new to the program is required to have a minimum of 3 months of documentation that supports their health and safety management system prior to being audited.

A small employer who is new to the program is required to have a minimum of 3 months of documentation that supports their health and safety management system. If they have less than 3 months of documentation they will be granted a 1 year SECOR but will be required to come back after 6 months with the appropriate documentation showing that their health and safety management system is fully implemented and functioning. Failure to do so will result in the SECOR being cancelled.

Six Month Certificate of Recognition – There may be cases where an employer needs to recertify but has no active worksites to audit. The auditor will not be able to do interviews or observation tours. In this case the auditor will do a desktop documentation review of the health and safety management system. If the documentation review is acceptable a 6 month Certificate will be issued. The employer will be required to re-certify again after 6 months. If there are still no active worksites the employer may be granted another 6 month Certificate.

National Safety Code and Provincial Legislation

The National Safety Code (NSC) standards serve as guidelines to each province or territory for the preparation and adoption of legislation to guide and regulate commercial carriers. It is the provincial legislation and applicable federal legislation which directs carrier operations within each province, not the NSC Standards.

Carriers must comply with the legislated requirements within each province. Since many carriers operate outside of their home province, the NSC is a useful means of standardizing these requirements.

A complete copy of the standards is available on the Canadian Council of Motor Transport Administrators (CCMTA) web site at: www.ccmta.ca.

Alberta Legislation

All drivers, vehicles and roadways within the province of Alberta fall under the Traffic Safety Act and the related regulations.

The regulations that primarily affect commercial carriers include:

- Use of Highway and Rules of the Road Regulation, AR304/2002
- Operator Licensing and Vehicle Control Regulation, AR320/2002
- Driver Training and Driver Examination Regulation, AR316/2002
- Vehicle Equipment Regulation AR122/2009
- Vehicle Inspection Regulation, AR211/2006
- Commercial Vehicle Certificate and Insurance Regulation, AR314/2002
- Commercial Vehicle Dimension and Weight Regulation, AR315/2002
- Drivers Hours of Service Regulation, AR317/2002
- Bill of Lading and Conditions of Carriage Regulation, AR313/2002
- Commercial Vehicle Safety Regulation, AR121/2009

Federal Legislation

Motor Vehicle Transport Act, 1987, T-6 RSA 2000

Commercial Vehicle Drivers Hours of Service Regulation, 2005

SOR/2005-313

Motor Vehicle Safety Fitness Certificate Regulation, SOR/2005-180

TDG

WHMIS

National Safety Code

The following NSC Standards are listed with the applicable Alberta act/regulation, including the related section number. This information is included to help you know and understand how each standard is applied in Alberta.

The National Safety Code includes 16 Standards:

NSC Standard #1 - Single Driver's License

Regulated in Alberta by:

- *Operator Licensing and Vehicle Control Regulation, AR320/2002;*
- *Traffic Safety Act (Part 3, Division 1, Section 51).*

This legislation prohibits having more than one driver's license and establishes administrative procedures to ensure compliance.

NSC Standard #2 - Knowledge and Performance Tests

Regulated in Alberta by:

- *Operator Licensing and Vehicle Control Regulation, AR320/2002;*
- *Driver Training and Driver Examination Regulation, AR316/2002.*

These regulations outline the principles for written and on-road driving tests.

NSC Standard #3 - Driver Examiner Training

Regulated in Alberta by:

- *Operator Licensing and Vehicle Control Regulation, AR320/2002;*
- *Driver Training and Driver Examination Regulation, AR316/2002.*

These regulations provide standard course material for driver examiners and minimum course materials for drivers.

NSC Standard #4 - Classified Driver Licensing System

Regulated in Alberta by:

- *Operator Licensing and Vehicle Control Regulation, AR320/2002.*

This regulation establishes the seven classes of driver licenses in Alberta, from Class 7 (Learner) to Class 1 (Heavy Truck).

NSC Standard #5 - Self-Certification

Regulated in Alberta by:

- *Driver Training and Driver Examination Regulation, AR316/2002.*

This regulation establishes the training and driver testing requirements for carriers and driving schools.

NSC Standard #6 - Medical Standards for Driving

Regulated in Alberta by:

- *Operator Licensing and Vehicle Control Regulation, AR320/2002.*

This regulation establishes the initial medical requirements for each class of driver's license and also the requirements for periodic re-examinations.

NSC Standard #7 - Carrier and Driver Profiles

Regulated in Alberta by:

- *Commercial Vehicle Certificate and Insurance Regulation, AR314/2002;*

This legislation establishes the minimum list of requirements to be included in each jurisdiction's control system. This includes records of infractions, collisions, on-road inspections and facility audits. This information is exchanged among Canadian jurisdictions to obtain complete profiles.

NSC Standard #8 - Short-term Suspensions

Regulated in Alberta by:

- *Traffic Safety Act.*

This legislation provides for the suspension of a driver's license for up to 24 hours when the driver's ability to operate a vehicle is impaired by alcohol, fatigue or drugs.

NSC Standard #9 - Hours of Service

Regulated in Alberta by:

- *Drivers' Hours of Service Regulation, AR317/2002;*
- *Commercial Vehicle Drivers Hours of Service Regulation, (Federal), SOR 2005-313 which applies when a carrier is under federal jurisdiction.*

This legislation establishes a commercial driver's allowed "hours of service" while traveling within Alberta and when crossing into other Canadian and U.S. jurisdictions.

NSC Standard #10 - Security of Loads

Regulated in Alberta by:

- *Commercial Vehicle Safety Regulation, AR121/2009*

This regulation establishes the minimum requirements for securing loads.

NSC Standard #11 - Commercial Vehicle Maintenance

Regulated in Alberta by:

- *Vehicle Inspection Regulation, AR211/2006;*
- *Commercial Vehicle Safety Regulation, AR 121/2009*

These regulations establish the minimum standards for the periodic inspection, maintenance, and repair of commercial vehicles. Detailed procedures were developed by a task force of government and industry representatives.

NSC Standard #12 - Commercial Vehicle Safety Alliance On-road Inspections (CVSA)

Regulated in Alberta by:

- *Traffic Safety Act;*
- *Commercial Vehicle Safety Regulation, AR121/2009*
- *Vehicle Equipment Regulation, AR122/2009;*
- *Commercial Vehicle Drivers Hours of service Regulation, (Federal), SOR 2005-313*
- *Drivers' Hours of Service Regulation, AR317/2002;*
- *Operator Licensing and Vehicle Control Regulation, AR320/2002.*

This legislation sets the minimum standards for the roadside inspection of drivers and vehicles as established by the Commercial Vehicle Safety Alliance. Canada, U.S. and Mexico have adopted the CVSA inspection program as part of their on-road enforcement programs.

NSC Standard #13 - Daily Trip Inspection Report

Regulated in Alberta by:

- *Commercial Vehicle Safety Regulation, AR 121/2009*

This legislation requires drivers to conduct vehicle inspections and prepare vehicle trip inspection reports and notify the carrier of any defects. The carrier is then required to repair the reported defects before the vehicle is used again.

NSC Standard #14 - Safety Rating

Regulated in Alberta by:

- *Commercial Vehicle Certificate and Insurance Regulation, AR314/2002.*

This regulation establishes carrier safety fitness ratings and how sanctions are imposed when necessary. This is applied uniformly across Canada. Information about the driver and the carrier profile system is exchanged through an inter-provincial system. This produces a nationally consistent assessment of a carrier's safety fitness performance and a way to determine whether performance is adequate to allow continued operation.

NSC Standard #15 - Compliance Audits

Regulated in Alberta by:

- *Commercial Vehicle Certification and Insurance Regulation, AR314/2002;*
- *Traffic Safety Act*
- *Commercial Vehicle Safety Regulation, AR121/2009*

This legislation establishes the requirements for the maintenance of records at a carrier's principal place of business for on-site review and assessment by government auditors of the carrier's safety performance and overall compliance with the NSC standards.

NSC Standard #16 - First Aid Training

This legislation provides a voluntary standard for the minimum first aid training of drivers. It is recommended that drivers of commercial vehicles complete approved first aid training and/or an occupational health and safety program.

Above Regulation Information cited from the Alberta Infrastructure and Transportation Education Manual July 2009

Safety Fitness Certificate

Under the National Safety Code carriers are required to obtain a Safety Fitness Certificate and maintain an acceptable fitness rating.

An application for a Safety Fitness Certificate can be downloaded from the following website:

<http://www.transportation.alberta.ca/638.htm> or by contacting the National Safety Code and Operating Authority Administration at, Phone #: (403) 340-5444.

Alberta Registries can give carriers a National Safety Code application and a temporary Safety Fitness Certificate that is valid for 60 days. The carrier must return the completed application to Carrier Services, Alberta Infrastructure and Transportation, within 60 days of registering a National Safety Code vehicle for the first time.

Provincial and Federal National Safety Code legislation applies to Alberta carriers who have commercial vehicles registered that are:

- Trucks, tractors or trailers or a combination of these vehicles that are registered to Provincially regulated motor carriers and have a registered gross weight of 11,794 kilograms or more;
- Buses with a manufactured seating capacity of 11 persons or more, including the driver;
- Trucks, tractors or trailers, or a combination of these vehicles that are registered to federally regulated motor carriers and have a registered gross weight greater than 4,500 kilograms.

Motor Carrier Safety Obligations for Safety Fitness Certificate

The motor carrier is obligated to have comprehensive knowledge of and be able to demonstrate compliance with “safety laws” that apply to their operations. “Safety laws” mean the laws governing the:

- Operation of commercial trucks and buses on highways;
- Equipment and motor vehicle standards as they apply to freight trucks and buses;
- Weight of freight trucks and buses;
- Transportation of dangerous goods;
- Loading, securing and carrying of loads.

In addition, the carrier must comply with the following:

1. Set out in **writing**, and fully implement, a safety program. This program will form the basis for demonstrating safety and compliance and would include at least:

(a) Identification of company policies & procedures to ensure staff complies with safety laws;

(b) Designation of a “Safety Officer” to coordinate safety and compliance activities;

(c) Clear written documentation, relating to the safe operation of vehicles including:

- Such subjects as speed limits, drugs and alcohol, defensive driving, load security, fuelling, etc;
- Provisions for proper record completion of such documents as Bills of Lading, Manifests, Dangerous Goods documents, time records and drivers’ daily logs, weight slips, etc;
- Provisions stating that employees are to “comply with the law”;
- Instructions for the use of safety equipment that pertains to their operation, including the use of flags and flares, fire extinguisher, goggles, hard hats, etc;

- Provisions for a staff disciplinary policy;
- (d) Provisions for providing training to employees and an ongoing program for evaluating their skills;
- (e) Retention of complete records for each driver in accordance with Section 41 of the *Commercial Vehicle Certificate and Insurance Regulation* AR314/2002;
- (f) Provisions for ensuring that all drivers are properly qualified for the type of vehicle(s) they operate.

2. Maintain at least the minimum Public Liability and Cargo Insurance (*if required*), or Passenger Hazard Insurance unless otherwise exempted by regulation.

3. Accept responsibility for all violations, inspections and collisions for all vehicles registered (*or subject to a short term lease*) in the carrier's name and for drivers operating those vehicles.

4. Set out in **writing**, and fully implement, a continuous and regular program for the inspection, maintenance and repair of the carrier's commercial vehicles. This would include the retention of a complete vehicle maintenance record for each vehicle being operated, including trucks, tractors, trailers, jeeps, boosters, etc.

The registered owner must designate a person responsible for:

- Maintaining and implementing the safety program and
- Ensuring compliance with the safety laws.

(Section 40(1) of the *Commercial Vehicle Certificate and Insurance Regulation* (AR 314/2002))

It is a condition of every fitness certificate that the registered owner and their employees must comply with the safety program. This applies to

carriers who obtain an Alberta Safety Fitness Certificate with either Provincial or Federal Operating Status designation.

For more information refer to www.transportation.alberta.ca/525.htm.

5. Ensure that all vehicles are in compliance with the Commercial Vehicle Inspection Program (*CVIP*) requiring annual inspections for tractors and trailers and semi-annual inspection(s) for buses.

6. Maintain all records identified above at the carrier's principal place of business in Alberta. If you wish to retain records at another location, a permit must first be obtained from Alberta Infrastructure and Transportation.

