



Alberta Motor
Transport Association

Certified COR Auditor Program
CONSULTANT

Table of Contents

Introduction.....	2
Value Statement	2
Needs Summary	2
AMTA’s Strategic Advantage	2
Professional Profile and Pre-Requisites	3
Why a certification?	4
How does the certification process work?	4
The Steps.....	4
Maintenance of Auditor Certification.....	5
How is Experience Being Measured?.....	6
Auditor Competencies	8
Auditor Performance Management and Discipline	9

Introduction

This document identifies the approved professional development pathway for certified auditors with the Alberta Motor Transport Association (AMTA). The association, working in collaboration with industry partners and peers, values the role of auditors and views their contributions as critical to safety performance within the province of Alberta. We have sought to build on previous work and implement standards consistent with the requirements of our certifying bodies, association guidelines, and desired outcomes.

Value Statement

The AMTA's certified auditor program has been designed to ensure that all auditors, employee and consultant alike, receive a high level of training, support, and ongoing performance management. This allows employers to rest assured that their auditor can;

- Demonstrate an understanding of the transportation industry,
- Communicate the value, processes, and requirements of the specific program,
- Provide meaningful recommendations for improvement, and
- Consistently achieve a higher level of performance and quality in their auditing.

Needs Summary

Safety and compliance are areas of key importance for the AMTA. Going beyond our relationship with government, the industry has clearly indicated a desire for improved training and oversight of auditors. The AMTA takes this need to heart and has identified a compelling case for the creation of a Certified Professional Auditor pathway which would provide universally relevant education alongside program specific education.

AMTA's Strategic Advantage

The AMTA possesses industry support through effective and purposeful alignment with values. We are capable of connecting a large number of carriers to an effective training program through our current outreach initiatives and various subcommittees. As a not-for-profit safety association, the AMTA also benefits from an inherent trust contract with industry and the public.

Professional Profile and Pre-Requisites

Consultant Auditor Candidates

- Experience
 - 5 years of cumulative experience in an Occupational Health and Safety role within the previous 7 years, or
 - 5 years of cumulative experience in a Carrier Compliance within the previous 7 years, with
 - The most recent 3 years of experience operating at a Professional level (see def)
 - Completion of 4 audits, in the capacity of lead or sole auditor, prior to application for a Consultant level of certification.
 - No Criminal Code Convictions.
- Quality Assurance History
 - Auditors with experience gained at another certifying organization are subject to reference checks with those organizations prior to being approved for the Consultant Auditor certification and at any time thereafter.
- Professional Education and Designation
 - Currently hold a COR Auditor Certification from the AMTA, and
 - Completed a recognized Occupational Health and Safety Certificate or Diploma, or
 - Currently hold the Certified Transportation Safety Professional (CTSP) designation with, or
 - Registered in, and actively working towards completion of the CTSP with the mandatory courses completed
 - Consideration will be provided for Certified Health and Safety Management System Auditor (CHSMSA) designation holders.

In recognizing the unique work scope and influence of a Consultant Auditor, the AMTA has identified the desired education and designation profile that would support employers in the field of Transportation. While other designations do exist (eg. Canadian Registered Safety Professional), it is the underpinning education and achievements of those designations that will count towards the pre-requisites listed above.

Certified Consultant Auditors will not have employment with any entity that poses a conflict of interest.

Why a certification?

The AMTA's Auditor Certification pathway takes qualified auditors through highly structured and consistent training designed to support specific outcomes that reflect the critical skills and competencies you would expect from a professional.

How does the certification process work?

Individuals seeking certification as an AMTA Consultant Auditor are required to enter the desired program following the below steps.

The Steps

A. Complete Health and Safety Systems Building

This comprehensive and challenging course is designed to guide and assist safety personnel in the development and implementation of a Health and Safety System.

B. Complete COR Auditor

COR auditing carries on from Fundamentals of Auditing and specifically focuses on the COR program. This course examines the requirements of a COR auditor and outlines the steps of the COR audit process. Once an auditor has completed the program specific training, they are ready to prepare their employers relevant managements systems and complete internal audits within the scope of their certification. The Student Certification Audit must be completed within **90 days of the course completion** to receive COR Auditor certification.

The AMTA is prepared to provide equivalencies and advance standing based on an equivalency mapping process created for each course and based on the specific curriculum (COR Auditor exempt). This is a standard practice among education institutions and is designed to ensure alignment with the learning outcomes deemed critical to the success of the student.



Maintenance of Auditor Certification

Consultant Auditors are required to attend annual Auditors Session held by AMTA, minimum 1 day professional development per year, and to complete a minimum of 2 AMTA audits per year while maintaining an average first-submission QA score of 75% or higher.

Certification Cycle

1	Complete COR Auditor Training and Qualification Audit
2	Complete 2 AMTA audits and 1-day professional development
3	Complete 2 AMTA audits and 1-day professional development
Recertification	Attend annual Auditor Session held by AMTA

Membership and Insurance

- Required to purchase and maintain an Associate Supplier membership with the AMTA.
- Required to purchase and maintain coverage of no less than \$1,000,000 in Professional Liability Insurance.

Records pertaining to auditor registration, training, and ongoing certification maintenance will be held by the AMTA for the duration of the certifying relationship and maintained for no less than 7 years following conclusion of services.

How is Experience Being Measured?

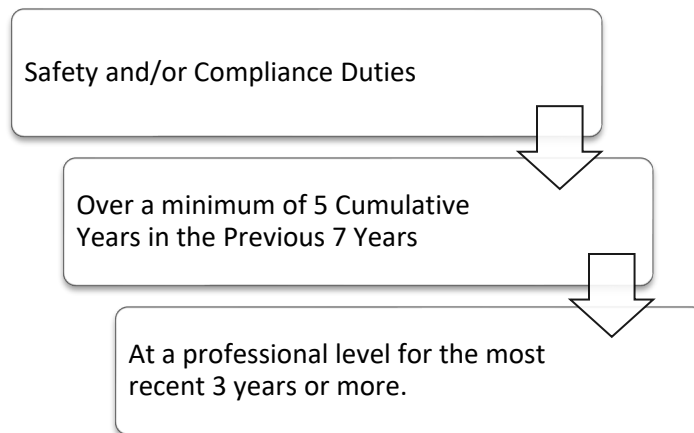
Successful registration in the Consultant Auditor Certification program requires that the candidate possess a satisfactory initial level of experience. Failing to meet the experience requirements will not stand in the way of an individual taking the component courses, however students will not be eligible for the Consultant Auditor Certification on the merits of those courses alone.

The Association recognizes that professional experience is something that can be difficult to measure without some form of “test” to apply to the information being provided. It can be tempting to open the designation up to any who would wish to participate, however that would defeat the purpose of the designation as a tool for establishing a consistent level of knowledge and skills within the field. The goal of this program, a goal which has been reaffirmed time and time again by our stakeholders, is to produce a bar that all safety practitioners within the transportation industry in Alberta, should be required to meet.

Operating as a professional requires an elevated ability to communicate with others, evaluate needs in accordance with operational variables, and execute on plans to achieve safety and compliance in the transportation industry.

Specific criteria have been developed to define what is meant by “safety experience” and “carrier compliance experience”, as well as what is defined as “professional level”.

There are three aspects to the Consultant Auditor experience requirement. Experience must be (1) in the safety or compliance field, (2) at an appropriate level, (3) within a prescribed period of time.



An individual’s experience is often difficult to measure and must account for differences in organization culture, worker duties, and overall management system complexity. One organizations management system might require an individual to function in a very specific scope or capacity while others will require a much broader scope. The AMTA values the importance of the Auditors professional experience and requires that a minimum of 51% of the individual’s duties fall within the below definitions.

The AMTA considers the following to be relevant experience in the fields of Safety and Carrier Compliance.

Safety

- Planning and leading work site OHS meetings.
- Communicating OHS requirements to relevant parties, developing understanding and awareness of legislated rights, obligations, and expectations.
- Utilizing procedures and standards to establish conformance to OHS requirements.
- Receiving, responding to, and investigating cause of near-misses and incidents, and working with stakeholders to determine relevant corrective actions.
- Developing action plans and/or accountability systems related to OHS functions for use by others.
- Conducting training, and evaluating knowledge related to OHS matters.
- Coordinating in, or assisting in the coordination of OHS inspections, audits, and/or reviews.
- Conducting, coordinating, or participating as a subject matter expert in the development of organizational policies, standards, and systems supporting OHS outcomes.
- Providing technical knowledge in the matters of OHS.

Compliance

- Conducting training in matters of carrier compliance, such as Hours of Service, Cargo Securement, Weights and Dimensions, as well as Trip Inspection.
- Maintaining of records related to Professional Drivers of Powered Mobile Equipment.
- Assessing compliance with regulated requirements associated with the operations of the business.
- Developing action plans and/or accountability systems related to carrier compliance functions for use by others.
- Conducting, coordinating, or participating as a subject matter expert in the development of organizational policies, standards, and systems supporting carrier compliance outcomes.
- Executing management system components specific to ensuring a carrier's compliance to traffic safety legislation and other standards or best practices.

In reference to operating at a Professional Level of experience, the following must be considered.

- ✓ Independence of actions.
 - Relates to the amount of planning, decision making, and autonomy of involvement in work experience.
- ✓ Depth of work requirements
 - Relates to the extent to which work experience requires information analysis and interpretation of relevant information.
- ✓ Level of interaction
 - Relates to the degree to which the individual interacts with a broad spectrum of contacts, including decision makers within their organization
- ✓ Responsibility of work outcome
 - *Relates to the level of accountability for work and decisions made.*

Auditor Competencies

Coursework undertaken by auditors at any level will be designed to support the following competencies:

Competency	Critical Task
Audit, Assurance, and Advisory	<p>Advises on and communicates effectively the role and scope of audit, assurance and advisory engagements to relevant stakeholders.</p> <p>Applies regulatory, legal, professional, and ethical standards relating to advisory, audit, and assurance engagements</p> <p>Plans and prepared for audit, assurance, and advisory engagements</p> <p>Performs effective audit and assurance engagements</p> <p>Reviews and reports on the findings of audit and assurance engagements</p> <p>Guides efficient and effective operations</p>
Governance, Risk and Control	<p>Evaluates organizational structures and governance to protect the long-term interest of stakeholders</p> <p>Recommends appropriate strategies to ensure adherence to governance structures and application of best practice internal controls</p> <p>Identifies and manages risk accordingly</p> <p>Uses risk management for the best interests of an organization and its stakeholders</p> <p>Monitors and applies relevant legislation, policies and procedures</p>
Leadership and Management	<p>Applies appropriate leadership strategies to effectively delivery business objectives</p> <p>Leads, motivates, and manages others to optimize performance and effectiveness</p> <p>Collaborates, supports, and works to achieve the objectives of the organization harnessing appropriate resources</p> <p>Acts proactively and thinks strategically, in anticipating organization's needs, recognizing the wider business environment and dynamics.</p>
Ethics and Professionalism	<p>Develops advanced ethical values and proessional skills in the promotion of public interests and the profession</p> <p>Demonstrates personal effectiveness in fast changing environments</p> <p>Encourages innovative thinking within the context of professional skepticism</p> <p>Thinks proactively about the future, applying professional judgement and commercial intelligence and seeks specialist input when needed</p> <p>Communicates effectively and influences others.</p>

Auditor Performance Management and Discipline

Key Performance Indicators

- First Submission QA Score
- Completed Audits

Benchmarks

- First Submission QA (1QA) score 75% or greater
- Number of required audits completed over applicable time period
- Auditor Response Time within prescribed timelines

Monitoring Performance

- QA Reviewers will complete the AMTA’s QA tracking form for each audit review. The tracking form will total scores and be associated with the auditor(s) and employer being audited.
- The Quality Assurance Supervisor will complete a monthly report on Consultant Auditor performance and submit results to AMTA Leadership.

Variances

- Variances from 1QA benchmarks are resolved as follows:

Level	Consultant Auditors (Resolution Offered Once Only)
<51%	No further audits permitted until recertification complete.
51% - 74%	No further audits permitted to be registered until performance management plan is completed.

- Insufficient number of qualifying audits within applicable time period will result in a 3-month warning of credential cancellation.
- Non-compliance with response time requirements will result in auditor suspension and Ethics Violation.

Investigating Ethics Claims

Code of Ethics violations can be reported to the AMTA through multiple channels.

1. Anonymous reporting can be provided by telephone or email to the AMTA or Partnerships
 - Violations that are anonymously reported may not be actioned or investigated based on a lack of subsequent follow-up opportunity. A significant violation may result in a CP requested OSAR or be directly investigated as appropriate.
2. Ethics complaints can be provided submitted by letter or email to the AMTA and/or Partnerships.
 - Ethics violations reported to the AMTA or Partnerships in this manner will be investigated immediately by the QA Supervisor and program Director with resolution provided for both the complainant and auditor in a timely manner. To avoid privacy or security concerns, personal information may be withheld from the Auditor's notification and final report.
3. Code of Ethics violations identified within OSAR, CP Audits, or as a part of another investigative process.
 - Ethics violations identified in this manner will have been investigated prior to submission to the AMTA. The association will be responsible to notify the auditor of findings and report on action taken within established timelines.

Performance Management

- Performance management will be applied based on needs and appropriate to the originating concern. This could include training, re-training, participation in a mentorship audit, or discipline and is the responsibility of the Certifying Partner to determine.

Discipline

- Auditors found to be in violation of their Code of Ethics and Professional Conduct agreements will be subject to discipline. Outcomes will be proportional to the initiating event and permanent revocation of certifications will be reported to all Certifying Partners.

Dispute Resolution

- Disputes can be provided in writing to the Executive Director and AMTA President within 30 days of discipline being assessed.
 - Disputes will be heard, and resolution provided within 30 days of being received.
 - Parties will be provided with documented findings.
 - Disciplinary actions being upheld will not result in new action taken, nor will reversed actions result in discipline being taken on any internal AMTA employee or contractor.