



Alberta Motor  
Transport Association

# Certified COR Auditor Program

INTERNAL AUDITOR

## Table of Contents

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

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## 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.

## Why a certification?

The AMTA's Internal COR 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 Internal COR Auditor are required to enter the desired program following the below steps. This stage of the certification results in an Internal Auditor and does not permit the individual to complete external Consultant Audits.

## 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.

## Maintenance of COR Auditor Certification

All auditors are required to recertify within their program once every three (3) years. Within the 3 year cycle, the auditor must perform a minimum of 2 audits.

### Certification Cycle

Year 1	Complete COR Auditor training and qualification audit
Year 2	Internal Audit in year 2 and or 3 (dependent on company audit cycle)
Year 3	Complete COR Auditor training to recertify.

## Professional Profile and Pre-Requisites

- Experience
  - Full-time (non-contract) employee of the business, or
  - A Contract-Employee whose primary source of employment is the business, and where the individual has completed training in Health and Safety System Building (HSSB), or is registering to complete this training, or
  - Has completed training in a recognized and approved course with confirmed credit from the AMTA.
  
- Baseline knowledge
  - There is no pre-requisite baseline knowledge required to register into, and complete training in the Health and Safety System Building course.
  - Applicant Auditors are required to complete the necessary courses in sequence to qualify for the Internal Auditor certification.
  
- Demonstrated Ability
  - Upon completion of the AMTA's COR Auditor Training, the Applicant Auditor is required to submit a student audit within **90 days** prior to achieving an COR Auditor Certificate.

An AMTA Certified COR Auditor is an employee of the COR certified employer. Their understanding of the employer's health and safety management systems provide unique insights not necessarily shared by a Consultant Auditor. This is a significant advantage to the auditor but must be handled with care.

It is the COR Auditors responsibility to:

- Systematically examine the elements of the safety management system for the purpose of identifying where there are strengths and where there are opportunities for improvements.
- Advise your employer if you observe unsafe work practices or behaviour while conducting audit activities.
- Demonstrate sound judgement and character when evaluating system components which have been designed, implemented, or maintained by the Internal Auditor, ensuring bias is minimized accordingly.
- Stay up to date with changes to the COR program and audit process through AMTA's website, bulletins, newsletter and industry initiatives.

## Auditor Performance Management and Discipline

The AMTA administers all Designations and Certifications through its Professional Development program within the Funded Health and Safety Associations operational umbrella. Administration can be contacted by email at [training@amta.ca](mailto:training@amta.ca).

### Key Performance Indicators

- First Submission QA Score
- Completed Audits

### Benchmarks

- First Submission QA (1QA) score 75% or greater
- Complete 2 audits in a 3 year cycle
- 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.

### Variances

- Variances from 1QA benchmarks are resolved as follows:

Level	Internal Auditors
<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 audits within a 3 year cycle 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.