



# Policy Manual

Certificate of Recognition Operations

April 27, 2023



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## 1 – COR Terms of Participation

### 1.1 Definitions

**COR** - Certificate of Recognition.

**Normal Operating Mode (NOM)** – When a company is operating at normal capacity and is not in a shutdown or maintenance mode. This does not necessarily include peak or rush operating times unless that is the normal mode of operation for that company.

**SafetyDriven - TSCBC (SafetyDriven)**, certifying partner administering the Certificate of Recognition program for Transportation and Warehousing Classification Units.

**Operational Supervision** - the process of overseeing the daily activities of a department or facility and managing the efficiency of its employees including supervising employee affairs, such as attendance, performance and professional growth.

**Participating Company** - the company making application to the COR program.

**WorkSafeBC (WSBC)** – Workers Compensation Board of BC

### 1.2 Term

The SafetyDriven COR program is a partnership between SafetyDriven and WorkSafeBC. The Participating Company acknowledges that achieving and retaining the Certificate of Recognition requires that it meet the obligations of SafetyDriven's policies and the policies of WorkSafeBC.

### 1.3 Obligations of a Participating Company

- (1). The Participating Company asserts that their account with WorkSafeBC is in good standing and will remain in good standing for the term of this agreement.
- (2). Allow SafetyDriven to verify the accuracy of their WorkSafeBC account number and legal name by obtaining a clearance letter.
- (3). To obtain and/or maintain Certification, each Participating Company must complete and submit to SafetyDriven:
  - (a). a COR Application Form agreeing to the COR Terms of Participation,
  - (b). a certification audit prior to obtaining a Certification,
  - (c). an annual maintenance audit completed before December 31 in each of the second and third year of the certificate Term,
  - (d). a re-certification audit before the expiry of the Term, performed no more than 6 months prior to the expiry of the Term; and
  - (e). such other audits as may be required by SafetyDriven from time to time.

### 1.4 The Participating Company agrees to:

- (1). abide by the conditions set by SafetyDriven for the conduct and submission of audits;



- (2). abide by the decisions made by SafetyDriven regarding the acceptance and marking of audits;
- (3). provide such additional materials or information deemed necessary by SafetyDriven to evaluate and mark a submitted audit, and;
- (4). No Participating Company will make or give any false or misleading representation, statement of fact, or opinion to SafetyDriven, or to an auditor, or in a Program Registration Form, nor will it do so to a third party (including WorkSafeBC) about a matter relating to Certification. It will not omit to state a fact necessary to make its representations, statements of fact, or opinions accurate to SafetyDriven, an auditor, or third party (including WorkSafeBC).
- (5). No Participating Company will engage in conduct which, in the opinion of SafetyDriven, could bring the reputation and credibility of the COR Program into disrepute.
- (6). A Participating Company that has previously been certified as a Small Employer or an Owner/Operator, and subsequently has increased its number of Workers such that it falls within the definition of another size category, will notify SafetyDriven within 90 days of falling within the definition of another size of employer.

### 1.5 Upon receipt of Certification, each Participating Company will:

- (1). comply with the standards and applicable guidelines required of a Participating Company established from time to time by SafetyDriven for employers, auditors and audits;
- (2). unless otherwise stated in this Policy, comply with, and cause its auditors and audits to comply with, the standards and applicable guidelines required of a Participating Company established from time to time by WorkSafeBC for employers, auditors and audits in the COR Program;
- (3). immediately inform SafetyDriven of any change in employer name, WorkSafeBC account number, WorkSafeBC Classification Unit (including an addition of a classification unit), acquisition of another employer, or change to ownership of the Participating Company;
- (4). comply with directions issued from time to time by SafetyDriven with regard to the COR program;
- (5). consent to SafetyDriven providing such information as required by WorkSafeBC for purposes of quality assurance, issuance of COR Program certificates, the Participating Company's eligibility for COR rebates, and furthering the objectives of the COR Program; and
- (6). consent to SafetyDriven posting on its website the Participating Company's name, principal business location, and Certification status where it has obtained and maintained the Certification, for the purpose of furthering the objectives of the COR Program.

### 1.6 Categorization of Participating Companies

- (1). Upon receipt by SafetyDriven of this application, SafetyDriven will determine whether a Participating Company is a Large Employer, a Small Employer, or an Owner/Operator, using the following criteria:



- (a). a Large Employer has a peak company size of more than 19 employees;
- (b). a Small Employer has a peak company size of 4 to 19 employees;
- (c). an Owner/Operator has a peak company size 3 or less employees, with no operational supervision

## 1.7 Termination, Suspension or other Action for Breach of an Obligation of a Participating Company

- (1). SafetyDriven will advise WorkSafeBC that the Certification of a Participating Company should be terminated if the Participating Company breaches section 1.3.(1) or (3), or section 1.4.(1), (3), (4) or (5). SafetyDriven will advise the Participating Company of such an action by giving written notice. In any other case, the SafetyDriven may take such other action as it deems appropriate for breach of any other obligation of a Participating Company set out in this document if, before making such a decision, it:
  - (a). gives notice to the Participating Company in writing of the proposed action, and the reasons therefore; and
  - (b). gives the Participating Company 30 days within which to deliver a written submission to SafetyDriven with respect to the proposed action.
- (2). If SafetyDriven decides to take action after considering the submission of the Participating Company under section 6, it will give notice to the Participating Company as set out in section 9 and such action will be effective on the date that SafetyDriven removes the Participating Company from the SafetyDriven list of certified companies.

## 1.8 Reinstatement

- (1). SafetyDriven may set the terms and conditions for re-certification of a Participating Company, or an entity under common control or direction of a Participating Company, whose Certification has previously expired or has been terminated.

## 1.9 Amendment

- (1). SafetyDriven may amend any of the terms and conditions set out herein by posting the changes on its website.

## 1.10 Notices

- (1). Any notice required or permitted to be given will be given in writing and be deemed to have been given or submitted when delivered by courier or transmitted by fax or e-mail, or five business days (not including Saturday, Sunday or a statutory holiday) after the date sent by certified or registered mail, postage prepaid, return receipt requested. Each Participating Company will provide to SafetyDriven and maintain a mailing address and will advise SafetyDriven of its fax number or e-mail address, if any, and each Participating Company waives the right to receive any other form of notice.



### 1.11 Exclusion of Liability

- (1). Notwithstanding any other provision of this document or any statements, representations, agreements or conduct to the contrary, in no event will SafetyDriven be liable to a Participating Company, or to anyone claiming through or under it, for any claim or loss, whether in contract or in tort, or based on any other theory of law whatsoever, arising from or connected in any way with the interpretation or application of these terms and conditions of Certification by SafetyDriven including, without limitation, any claim for loss of profits, indirect costs or consequential damages.

### 1.12 Waiver

- (1). The failure of SafetyDriven to insist upon the strict performance of any term or condition contained herein or to exercise any right will not be construed or operate as a waiver of the term or condition, and no waiver will be inferred from or implied by anything done or omitted to be done by SafetyDriven.

Last Reviewed April 26, 2023



## 2 – Employer Registration

### 2.1 Section Description

This section describes which employers may register in the Certificate of Recognition (COR) program, how they may register, and in which programs they may register.

### 2.2 Key Points

- (1). Employers may register for the COR program if they fall within one of the Workers' Compensation Board Classification Units which are members of SafetyDriven – TSCBC (SafetyDriven), or if they fall within a Classification Unit which the Workers' Compensation Board considers naturally aligned with SafetyDriven.
  - (a). Employers not naturally aligned may be authorized to register on application and presentation of a valid reason for a variance.
- (2). Employers will be registered for the large employer, small employer, or owner operator COR programs depending upon their size.

### 2.3 Policy

#### 2.3.(1) Initial Application

- (1). To participate in the COR program, at a minimum, an employer must meet the following conditions:
  - (a). The employer must be doing business and have employees working in BC.
  - (b). The employer must have an account in good standing with the Workers' Compensation Board of BC (WorkSafeBC).
- (2). Employers who are interested in participating in the COR program may approach SafetyDriven directly, may approach WorkSafeBC and be referred to SafetyDriven, or may be referred by another certifying partner.
- (3). To formally apply to the COR program an employer must agree to the COR Terms of Participation by completing and submitting a COR Application form.

#### 2.3.(2) Employers in Member Classification Units

- (1). Employers who are registered in the Workers' Compensation Board (WorkSafeBC) General Trucking (732019) and Moving & Storage (732030) Classification Units are members of SafetyDriven. Member organizations may make an application to pursue COR certification at any time.

#### 2.3.(3) Employers in Non-member Classification Units

- (1). Employers who are registered in non-member Classification Units may participate in the SafetyDriven COR program if they choose, however it is recommended that their business operations are naturally aligned with the industry sectors which SafetyDriven supports. The determination of whether a business is naturally aligned will be made by SafetyDriven in consultation with WorkSafeBC. Once an organization is determined to be naturally aligned it may begin to participate in the COR program.



### 2.3.(4) Employers with Multiple Classifications

- (1). Employers who are registered in more than one Classification Unit may pursue COR certification for their operations which fall within a member Classification Unit or a Classification Unit which is naturally aligned. Should any of their operations fall within a Classification Unit which is not naturally aligned those operations may be excluded from the COR program. The inclusion or exclusion of such an employer's operations from the COR program will be determined on a case-by-case basis in consultation between WorkSafeBC, the employer, and SafetyDriven.

### 2.3.(5) Size of Employer

- (1). The size of an employer, based upon staff numbers, will determine which COR program the employer will participate in:
- (2). Employers with 20 or more staff will participate in the large employer COR program. The large employer COR program is described in the Policy: [Large Employer Certification](#).
- (3). Employers with from 2 to 19 staff will participate in the small employer COR program. The small employer COR program is described in the policy: [Small Employer Certification](#).
- (4). Employers with from 1 to 3 staff, with no supervisory responsibilities, will participate in the owner operator COR program. The owner operator COR program is described in the policy: [Owner Operator COR Audit and Certification](#).
- (5). A change in an employer's size, following certification, must be communicated to SafetyDriven in order that a transition to the appropriate program can be initiated.

## 2.4 References

[Large Employer COR Certification](#)

[Small Employer COR Certification](#)

[Owner Operator COR Audit and Certification](#)

[COR Terms of Participation](#)

Last Reviewed April 26, 2023



## 3 – Confidentiality

### 3.1 Section Description

This section describes SafetyDriven – TSCBC's (SafetyDriven's) collection, protection, and disclosure of confidential information in relation to the Certificate of Recognition (COR) program.

### 3.2 Key Points

- (1). SafetyDriven will collect information in the course of its operations which may be considered of a confidential nature.
- (2). SafetyDriven will protect the confidentiality of the information that it collects.
- (3). SafetyDriven may disclose confidential information under limited circumstances.

### 3.3 Policy

#### 3.3.(1) Scope

- (1). This policy applies to staff of the SafetyDriven, external contractors of SafetyDriven, and external auditors certified by SafetyDriven.
- (2). This policy applies to information in the custody or control of SafetyDriven or anyone working on behalf of SafetyDriven.
- (3). This policy applies to information gathered in the course of administering the Certificate of Recognition program. This may include information gathered during the training and education of COR program participants, the participation of organizations in the COR program, and the auditing of organizations for COR certification.

#### 3.3.(2) Information Collected

- (1). In the course of administering the Certificate of Recognition program, SafetyDriven will collect or generate information about organizations and individuals who are participating in the program. This will include general information about organizations covered by SafetyDriven's mandate as well as information regarding the safety programs of specific organizations. General information regarding auditors, and specific information regarding their auditor training and auditing performance will be collected and generated through SafetyDriven's activities.
- (2). Consent for SafetyDriven to retain this information is implicit in the participation of the organizations and individuals in the COR program.
- (3). All such information collected for the purpose of supporting the Certificate of Recognition program is only to be used for the purposes of the program or related programs administered by SafetyDriven.

#### 3.3.(3) Information Considered Confidential

- (1). With the exception of the information identified in this policy as not being of a confidential nature all information regarding organizations and individuals collected by SafetyDriven in the administration of the Certificate of Recognition program is considered confidential.



- (2). Information which is considered confidential is not to be disclosed to anyone who is not the subject of the information or is not acting within the scope of SafetyDriven's business.

#### 3.3.(4) Information Not Considered Confidential

- (1). The following items of information regarding the Certificate of Recognition program are not confidential, and are publicly available:
- Whether or not a firm holds a current Certificate of Recognition.
  - Whether or not a person is an external auditor in good standing.

#### 3.3.(5) Disclosure

- (1). The information collected and retained by SafetyDriven in the administration of the COR program will be disclosed if SafetyDriven receives a legal order for such disclosure. In addition, such information will be disclosed following a written request from:
- The person or organization who is the subject of the information.
  - The Workers' Compensation Board of British Columbia.

### 3.4 References

[Freedom of Information and Protection of Privacy Act \[RSBC 1996\]](#)

Last Reviewed April 26, 2023





## 4 – Auditor Code of Ethics

The auditor code of ethics establishes the guiding principles for all auditors in the SafetyDriven - TSCBC (SafetyDriven) Certificate of Recognition program. Auditors must comply with these principles when performing audits under the SafetyDriven Certificate of Recognition Program.

### 4.1 Integrity

Auditor integrity creates credibility and trust in the auditing process by providing the assurance that auditing standards, rules and procedures are observed. Auditors shall:

- \* Follow the highest standards of honesty, fairness, and ethical conduct.
- \* Respect and act with dedication to the goals of the COR program.
- \* Comply with all applicable regulatory requirements (e.g., Canada Labour Code, Workers' Compensation Act).
- \* Respect the integrity of other auditors, their different experiences, and areas of expertise.
- \* Conduct business in a fair and honest manner, without knowingly engaging in a conflict of interest.
- \* Conduct and report audit findings in accordance with the requirements of audit standard without bias, prejudice, variance, or compromise.
- \* Strive for continuous improvement in all services rendered.
- \* Consult with SafetyDriven where there is a concern about a breach of the code of ethics.
- \* Report to SafetyDriven in writing with reasons when the activities or conduct of an auditor appear to be in conflict with this code of ethics.

### 4.2 Objectivity:

Auditors must demonstrate the highest level of professional objectivity in collecting, evaluating, and communicating information about the audit. Auditors must make a balanced assessment of all relevant information and make independent and impartial judgements without being unduly influenced by their own interests or those of others.

### 4.3 External Auditors

External auditors who provide contract auditing services are not permitted to perform a certification or re-certification audit for companies where they have a family or non-arm's length affiliation or where they have been involved in the development and / or implementation of the health and safety system within the past 12 months. External auditors shall:



- \* Remain free of any influence, interest or relationship that impairs professional judgment, independence, or objectivity.
- \* Disclose any perceived or potential conflict of interest during their initial contact with a client or perspective client.
- \* Not perform more than two consecutive audits for the same company.
- \* Not market their services during the audit process.
- \* Protect their independence and not accept any gifts or gratuities which could influence compromise or threaten the ability of the auditor to act and be seen to be acting independently.

#### 4.4 Internal Auditors

Internal auditors are employees of companies being audited and who may have other roles and responsibilities. While performing a maintenance audit, internal auditors must detach themselves from their regular roles and responsibilities. Internal auditors shall remain free of influence, interest or relationship that may impair their judgement or objectivity.

#### 4.5 Confidentiality:

Auditors must respect ownership of information they receive during the audit and not disclose any confidential information to any third party, either orally or in writing, without proper authority and unless there is a legal or professional obligation to do so. Auditors shall:

- \* Maintain the confidentiality of information obtained during the audit process and ensure the anonymity of all individuals interviewed.
- \* Not use audit information obtained for personal or financial gain or a purpose that would be contrary to the law, the audit process or harmful to the SafetyDriven COR program.
- \* Be prudent in the use of information acquired during the course of their work.

#### 4.6 Competency:

Auditors must apply their knowledge, skills and experience in the performance of an audit. Auditors shall:

- \* Only undertake work for which they are competent and qualified to carry out.
- \* Commit to honest, thorough and straightforward communication in the performance of audit activities.
- \* Be consistent and accurate in their evaluations and avoid omissions.
- \* Provide accurate reports, findings and recommendations which are supported by quantitative and measurable data.



- \* Continually strive to maintain and improve their proficiency, effectiveness and quality of skills and knowledge.

#### 4.7 Auditor Conduct:

Auditors are expected to act in a responsible and professional manner at all times. Auditors shall:

- \* Strive to achieve the highest quality, efficiency and effectiveness in their work.
- \* Not act discriminatory in any way to any person.
- \* Not use profanity of any kind at any time.
- \* Be professional in their conduct and speech and in their dealings with all parties involved in the audit process, including employees, contractors and the SafetyDriven staff.
- \* Dress appropriately for the conditions encountered during the audit and to be professional in appearance.
- \* Willingly and openly share their collective knowledge and always be in pursuit of the truth and enhancement of health and safety.

#### 4.8 Auditor Disciplinary Process

Violations of the code of ethics are considered serious and action will be taken by SafetyDriven in response to any violation.

An auditor may be subject to the following sanctions for a violation of the code of ethics, depending on the severity:

- (1). Formal letter advising the auditor of the violation, a restatement of the required standard and a stipulation to not have this reoccur.
- (2). A requirement to be retrained.
- (3). Suspension of the auditor's certification.
- (4). Permanent removal of the auditor's certification.

Before any action is taken, a full investigation of the alleged violation will be conducted by SafetyDriven. Sanctions may include a combination of discipline, such as suspension, as well as a requirement for retraining. As part of the code of ethics, auditors are expected to cooperate fully with an inquiry in the event of a breach or alleged breach of this code of ethics.

The fact that a particular conduct or restriction is not mentioned in the code of ethics does not prevent an action deemed to be unacceptable from being subject to disciplinary action.



## 5 – COR External Auditors

### 5.1 Section Description

This section describes how Certificate of Recognition (COR) external auditors may be certified and maintain certification.

### 5.2 Key Points

To be certified as Certificate of Recognition external auditors, candidates must:

- (1). Make an application.
- (2). Complete a training course.
- (3). Pass an examination.
- (4). Complete a student audit.
- (5). Complete a minimum number of audits.

### 5.3 Policy

#### 5.3.(1) Application

- (1). Potential external auditors must apply, in writing, to SafetyDriven - TSCBC (SafetyDriven).
- (2). As a part of the application process potential auditors may be required to attend an interview with SafetyDriven.

#### 5.3.(2) Evaluation and Selection

- (1). Prior to being accepted as an auditor candidate, applicants must demonstrate that they have the appropriate knowledge, training, and experience for the role.
- (2). The selection of external auditor candidates for training and potential accreditation will be based on the current needs of SafetyDriven and may not be dependent solely on the candidate meeting the minimal qualifications.

#### 5.3.(3) Training

- (1). External auditor candidates must attend 35 hours of training in occupational health and safety principles, and auditing practices. Qualified external auditors from other certifying partners may be granted exemption from a portion of the training.
- (2). The training must be provided by or endorsed by SafetyDriven and must meet the standard of SafetyDriven's curriculum materials. These include the SafetyDriven-AuditSoft overview, External Auditor Student Guide, and the External Auditor Instructor Guide.
- (3). Following completion of training the candidate must achieve at least 80% on examinations, exercises, and case studies of the course material.
- (4). Candidates who achieve less than 80% must repeat the training.

#### 5.3.(4) Student/Qualifying Audit

- (1). Following successful completion of training a candidate must, within six months, complete and submit to SafetyDriven a student audit.



- (2). If the student audit meets the quality assurance standards of SafetyDriven the candidate will be certified as an external auditor.

#### 5.3.(5) Minimum Annual Requirements

- (1). Following certification as an external auditor the auditor must complete and submit to SafetyDriven proof of two audits within the subsequent three years to retain certification.
- (2). Auditors must also complete OHS-related training, upgrading or professional development over the course of the certification period. This information will be required in the COR Auditor Certification Maintenance Report that must be completed and submitted annually.

#### 5.3.(6) Refresher Training and Recertification

- (1). After every three-year period following initial certification external auditors must be recertified. Recertification is not automatic and is subject to both the external auditor and SafetyDriven agreeing to the recertification.
- (2). To be considered for recertification an external auditor must be in good standing, have completed the minimum auditing requirements for the previous three years, retained all relevant professional credentials, and submitted a COR Auditor Certification Maintenance Report annually.
- (3). Prior to recertification external auditors must have completed recertification training provided by or endorsed by SafetyDriven.

#### 5.3.(7) Auditor Performance and Evaluation

- (1). Auditors are expected to conduct audits and complete audit reports to the standards described in SafetyDriven's auditor training materials and auditing documents.
- (2). SafetyDriven will review all audit reports submitted by external auditors for quality and adherence to SafetyDriven's audit standards.
- (3). Verification audits to evaluate quality will be performed on a minimum of 10% of all certification audits conducted by external auditors in each year.
- (4). SafetyDriven will communicate the results of its evaluations to individual external auditors in order to remedy substandard performance and to ensure the continual improvement of the auditor's professional skills.

#### 5.3.(8) Ethical Behaviour and Complaints

- (1). All external auditors, as a condition of certification, must sign the SafetyDriven [Auditor Code of Ethics form](#).
- (2). External auditors are expected to act in a professional manner at all times while conducting audits on behalf of SafetyDriven. This includes: following the standards described in the [Auditor Code of Ethics](#), adhering to the code of ethics of any professional associations related to their professional practice, and auditing to the standards described in SafetyDriven's training and auditing documents.
- (3). If SafetyDriven is informed or becomes aware that the auditor has acted contrary to SafetyDriven's expectations SafetyDriven will initiate an investigation to determine whether or not this is the case.



- (4). The external auditor is expected to co-operate with the investigation and will be informed, in writing, of its outcome.

#### 5.3.(9) Loss of Certification

External auditors may lose their certification under the following circumstances:

- (1). If they fail to complete the minimum number of audits within a three-year period.
- (2). If they fail to complete recertification training.
- (3). If they are found to have violated the [Auditor Code of Ethics](#).
- (4). If their audit reports demonstrate persistent quality assurance concerns.
- (5). If employer feedback includes consistent complaints about their performance.
- (6). If SafetyDriven considers that their continued certification is not in the best interests of SafetyDriven.

#### 5.3.(10) Appeals Process

- (1). Any disagreement with a decision by SafetyDriven with regard to any aspect of the certification of external auditors must be communicated in writing to SafetyDriven.
- (2). The process for filing a dispute and the steps to its resolution are described in the section: [Dispute Resolution](#).

### 5.4 References

[Auditor Code of Ethics](#)

[Dispute Resolution](#)

Last Reviewed April 26, 2023



## 6 – Large Employer Internal Auditors

### 6.1 Section Description

This section describes how large employer Certificate of Recognition (COR) internal auditors may be certified.

### 6.2 Key Points

To be certified as a large employer COR internal auditor, candidates must:

- (1). Have a permanent employment relationship with the company they wish to audit.
- (2). Attend a training course as prescribed by SafetyDriven – TSCBC (SafetyDriven).
- (3). Pass an examination.
- (4). Sign the SafetyDriven [Auditor Code of Ethics](#).
- (5). Complete a student audit.
- (6). Complete a minimum number of audits during the COR certification cycle.

### 6.3 Policy

#### 6.3.(1) Minimum Requirements

- (1). There are no prerequisites to become an internal auditor. However, the applicant must demonstrate an adequate level of knowledge and understanding of audit protocol by passing a prescribed course and exam.

#### 6.3.(2) Application

- (1). The application for training as a large employer internal auditor is implicit in the employer's registration in the COR program. Following registration, the employer will submit the name of an internal candidate to attend auditor training.
- (2). Web Registration - <https://safetydriven.ca/courses/upcoming-cor-courses-workshops/>
- (3). The internal candidate must hold a permanent (full or part time) position with the company they wish to audit. When part time positions are held with multiple companies the internal auditor is only eligible to perform one audit each year and cannot audit multiple companies. Internal auditors requesting a second audit in the same calendar year for a second company must be able to demonstrate a bona fide change in full time employment to be considered.

#### 6.3.(3) Training

- (1). Large employer internal auditor candidates must complete a course of training in occupational health and safety principles, and auditing practices.
- (2). The training must be provided by, endorsed, or recognized by SafetyDriven.
- (3). Following completion of training provided by SafetyDriven the candidate must achieve at least 80% on an examination of the course material.
- (4). Candidates who fail the exam must repeat the training before rewriting the examination.



#### 6.3.(4) Student/Qualifying Audit

- (1). Following successful completion of training a candidate must complete and submit a student audit within twelve months.
- (2). The student audit can be carried out as a part of the certifying audit for the employer, although the actual certifying audit must be carried out by an external auditor.
- (3). The student audit can also be carried out as a maintenance audit for the employer, and it will be considered a valid maintenance audit for the company.
- (4). Multiple candidates within the company can conduct a team audit for the employer. Team audit plans must be reviewed and approved by SafetyDriven prior to the audit.

#### 6.3.(5) Minimum Auditing Requirements

- (1). Following certification as an internal auditor, the auditor must complete two audits within the following three-year audit cycle to retain certification.

#### 6.3.(6) Refresher Training & Recertification

- (1). Three years after certification the internal auditor must complete refresher training in occupational health and safety and auditing principles.
- (2). The training must be provided, endorsed, or recognized by SafetyDriven.
- (3). Following completion of training provided by SafetyDriven the candidate must achieve at least 80% on an examination of the course material.
- (4). Candidates who fail the exam must repeat the training before rewriting the examination.

### 6.4 Reference

[Employer Registration](#)

[Large Employer Certification](#)

[Auditor Code of Ethics](#)

**Last Reviewed April 27, 2023**





## 7 – Small Employer Internal Auditors

### 7.1 Section Description

This section describes how small employer Certificate of Recognition (COR) internal auditors may be certified.

### 7.2 Key Points

To be certified as small employer COR internal auditors, candidates must:

- (1). Have a permanent employment relationship with the company they wish to audit.
- (2). Complete a training course as prescribed by SafetyDriven – TSCBC (SafetyDriven).
- (3). Pass an examination.
- (4). Sign the SafetyDriven [Auditor Code of Ethics](#).
- (5). Complete a student audit.
- (6). Complete a minimum number of audits during the COR audit cycle.

### 7.3 Policy

#### 7.3.(1) Minimum Requirements

- (1). There are no prerequisites to become an internal auditor. However, the applicant must demonstrate an adequate level of knowledge and understanding of audit protocol by passing a prescribed course and exam.

#### 7.3.(2) Application

- (1). The training and certification of an internal auditor is a requirement of the small employer COR certification process. Once an employer has registered for the COR program as described in the Employer Registration policy, the employer's internal auditor candidate will enroll in the small employer internal auditor training program.
- (2). The internal auditor must hold a permanent (full or part time) position with the company they wish to audit. When part time positions are held with multiple companies the internal auditor is only eligible to perform one audit each year and cannot audit multiple companies in the same year.

#### 7.3.(3) Training

- (1). Small employer internal auditor candidates must complete a course of training in occupational health and safety principles, and auditing practices.
- (2). The training must be provided, endorsed, or recognized by SafetyDriven.
- (3). Following completion of training the candidate must pass an examination of the course material.
- (4). Candidates who fail the exam must repeat the training before rewriting the examination.

#### 7.3.(4) Student Audit

- (1). Following successful completion of training a candidate must complete and submit a student audit within 12 months.
- (2). The student audit can also be the certifying audit for the employer.



#### 7.3.(5) Minimum Auditing Requirements

- (1). Following certification, or recertification, as an internal auditor the auditor must complete two audits within the subsequent three years to retain certification.

#### 7.3.(6) Follow-up Training

- (1). Three years after certification the internal auditor must complete a recertification training in occupational health and safety principles and auditing knowledge.
- (2). The training must be provided, endorsed, or recognized by SafetyDriven.
- (3). Upon successful completion of the recertification training, and if the auditor has completed their minimum auditing requirements, the auditor will be recertified for another three-year period.

### 7.4 Reference

[Auditor Code of Ethics](#)

[Employer Registration](#)

[Auditor Code of Ethics](#)

Last Reviewed April 27, 2023



## 8 – Large Employer Audit

### 8.1 Section Description

This section describes the processes and requirements of Certificate of Recognition (COR) audits for large employers.

### 8.2 Key Points

- (1). A large employer may participate in a certification, maintenance, limited scope, or recertification audit.
- (2). Large employer certification, recertification, and limited scope audits must be conducted by an external auditor.
- (3). Large employer maintenance audits may be conducted by either an internal or external auditor.

### 8.3 Policy

#### 8.3.(1) Conditions

- (1). To participate in the large employer audit, an employer must have 20 or more workers, be registered with SafetyDriven - TSCBC (SafetyDriven), and have completed any training described in the section: [Large Employer Certification](#).
- (2). Small employers wishing to challenge the large employer audit may do so on application to and approval by SafetyDriven.

#### 8.3.(2) Types of audits

- (1). There are three types of audits which a large employer will participate in during the Certificate of Recognition process: certification, maintenance, and recertification. An employer may also participate in a limited scope audit.
- (2). A certification audit is the initial audit which an employer must pass to obtain a Certificate of Recognition.
- (3). Maintenance audits are conducted before the end of the first and second calendar year following certification or recertification.
- (4). A recertification audit is the audit which an employer must pass by the certification anniversary date in the third year following certification or recertification.
- (5). A limited scope audit may take place if an employer is unsuccessful in a certification or recertification audit.
- (6). Not including limited scope audit, there must be six months between the end of last audit (site-visit) and the start of the current audit (site visit).

#### 8.3.(3) Safety Program Evaluation

- (1). A Safety Program Evaluation is an informal comparison of an organization's safety program against the standards described in the [Large Employer Audit tool](#).
- (2). Prior to requesting an audit an employer should conduct a Safety Evaluation to determine the likely success of the audit, and to identify and remedy potential shortfalls.



- (3). SafetyDriven may decline an application for an audit if it is evident that the employer is unprepared for a COR audit.

#### 8.3.(4) Audit Scope

- (1). It is expected that any audit or safety program evaluation will be performed at a point in the employer's operations where they are at a normal level of activity (Normal Operating Mode)
- (2). Approximately one third of worksites, plus head office will be audited each year of the three-year cycle so that all worksites are visited at least once during the cycle and head office every year.
- (3). Interviews and observations will be performed on a proportional basis for all sites to be visited during the audit.

#### 8.3.(5) Auditors

- (1). Certification and recertification audits must be carried out by an external auditor.
- (2). Maintenance audits may be carried out by either an external auditor or an internal auditor.
- (3). The certification of large employer internal auditors is described in the section: [Large Employer Internal Auditors](#).
- (4). The certification of external auditors is described in the section: [COR External Auditors](#).

#### 8.3.(6) Application

- (1). At least 14 days prior to initiating a COR audit, a completed COR Notice of Audit Form must be submitted to SafetyDriven. The Notice of Audit Form is accessed from the [Auditor Forms page](#) on the SafetyDriven Website.
- (2). The audit may not proceed without the approval of SafetyDriven, and the audit must commence no later than thirty days after the 'Anticipated start date of onsite audit activities,' submitted in the Notice of Audit.

#### 8.3.(7) Certification Audit

- (1). The certification audit must be carried out by an accredited external auditor.
- (2). The large employer audit is carried out using the [Large Employer Audit Tool](#) and all onsite audit activity must be completed within 45 days.
- (3). Once the audit is completed the external auditor must submit a report of the audit to SafetyDriven within 45 days.
- (4). An average score of at least 80% on all elements, and a score of no less than 50% on any single element must be achieved to pass the audit.
- (5). If a passing score is not achieved, at the discretion of SafetyDriven, a [limited scope audit](#) may be permitted after any identified shortfalls are addressed.
- (6). When a large employer has been successful in passing the certifying audit, and the company has supplied a suitable action plan within 21 days of audit acceptance, SafetyDriven will notify WorkSafeBC and recommend that a Certificate of Recognition be awarded.



- (7). If a Certificate of Recognition is awarded, SafetyDriven will forward the certificate to the employer once it is received from WorkSafeBC.

### 8.3.(8) Maintenance Audits

- (1). Two maintenance audits must be completed in each three-year audit cycle. The first within one year and the second within two years of a certification or recertification audit.
- (2). Maintenance audits may be carried out by either an internal or external auditor.
- (3). Maintenance audits are carried out using the [Large Employer Audit Tool](#) and all onsite audit activity must be completed within 45 days.
- (4). Once the audit is completed the auditor must submit a report of the audit to SafetyDriven within 45 days.
- (5). An average score of at least 80% on all elements, and a score of no less than 50% on any single element must be achieved to pass the audit.
- (6). If a passing score is not achieved the certification will not be lost but regardless of the score the employer must provide a written action plan within 21 days of audit acceptance outlining the steps to be taken to remedy any shortfalls.
- (7). When an employer has met the requirements of a maintenance audit SafetyDriven will notify WorkSafeBC of the results of the audit.

### 8.3.(9) Recertification Audits

- (1). A recertification audit must be completed within three years of the initial certifying audit or previous recertification audit.
- (2). The recertification audit is carried out using the [Large Employer Audit Tool](#).
- (3). An external auditor must complete the audit for the employer and submit the document to SafetyDriven within 45 days of its commencement.
- (4). An average score of at least 80% on all elements, and a score of no less than 50% on any single element must be achieved to pass the audit.
- (5). If a passing score is not achieved, at the discretion of SafetyDriven, a [limited scope audit](#) may be permitted after any identified shortfalls are addressed.
- (6). When an employer has been successful in passing the certifying audit and has supplied a suitable action plan, addressing shortfalls, SafetyDriven will notify WorkSafeBC and recommend that a Certificate of Recognition be awarded.
- (7). If a Certificate of Recognition is awarded SafetyDriven will forward the certificate to the employer once it is received from WorkSafeBC.

### 8.3.(10) Limited Scope Audits

- (1). A limited scope audit may take place after an employer has failed either a certification or recertification audit.
- (2). The limited scope audit will address only those elements which resulted in the failure of the certification or recertification audit.
- (3). A request for a limited scope audit must be made by the employer directly to SafetyDriven within 30 Days of receiving the audit results.
- (4). Approval for a limited scope audit is entirely at the discretion of SafetyDriven and will only be provided under the following circumstances:



- (a). The failure of the certifying or recertifying audit is limited to specific elements and not systemic faults in the employer's safety management system,
  - (b). and there is a reasonable expectation that the employer can address the shortfalls identified in the failing audit.
- (5). If approval is provided, the limited scope audit must be completed, and an audit report submitted within 90 days.

#### 8.3.(11) Audit Report

- (1). Following completion of an audit, a report in a format acceptable to SafetyDriven must be submitted to the COR Department.
- (2). Within thirty days after receiving the audit report, or in a period of time appropriate to circumstances, the COR Department will conduct a desktop review of the document. The desktop review is described in the policy: [Audit Quality Assurance](#).
- (3). At the conclusion of the desktop review the audit will be determined to have failed, passed, or will be referred for further action.
- (4). The employer must also submit an action plan based on deficiencies identified in the audit report. The action plan will be reviewed by the COR Department.

#### 8.3.(12) Failure of an Audit

- (1). Failure of a certification audit will result in COR certification not being achieved.
- (2). Failure of a maintenance audit will not result in the loss of COR certification.
- (3). Failure of a recertification audit will result in certification being removed.
- (4). Failure of a limited scope audit will result in COR certification not being achieved or being removed.
- (5). Failure of a company to submit an appropriate level of audit within the published timelines will result in certification being removed.

#### 8.3.(13) Dispute Resolution Process

- (1). Any disagreement with a decision by SafetyDriven regarding any aspect of the audit process must be communicated in writing to SafetyDriven.
- (2). The process for filing a dispute and the steps to its resolution are described in the section: [Dispute Resolution](#).

### 8.4 References

[Large Employer COR Certification](#)

[COR Notice of Audit](#)

[Large Employer Internal Auditors](#)

[Dispute Resolution](#)

[Large Employer Audit Tool](#)

[Audit Quality Assurance](#)



## 9 – Large Employer COR Certification

### 9.1 Section Description

This section describes how large employers obtain and retain a Certificate of Recognition (COR).

### 9.2 Key Points

To obtain and retain a Certificate of Recognition large employers must:

- (1). Pass a certification audit using an external auditor.
- (2). If auditing internally, have an employee become certified as a COR internal auditor.
- (3). Complete maintenance audits as required.
- (4). Complete recertification audits as required.

### 9.3 Policy

#### 9.3.(1) Registration

- (1). Large Employers must be operating with twenty or more employees.
- (2). Reference: [Employer Registration](#) policy.

#### 9.3.(2) Large Employer Training

- (1). To perform internal audits, a representative of the employer must complete a course of training and become certified as an internal auditor as described in the policy: [Large Employer Internal Auditors](#).

#### 9.3.(3) Audit Preparation/Safety Program Evaluation

- (1). Following training, and prior to a certification audit, large employers should evaluate their operations to determine their degree of compliance with the elements of the [Large Employers Audit tool](#).
- (2). Any shortfalls or gaps in their compliance with the audit tool should be addressed prior to any formal certification audit.

#### 9.3.(4) Audits

- (1). Successful completion of a certifying audit is required before an employer can obtain a Certificate of Recognition.
- (2). Maintenance audits are required before the end of the first and second calendar year following certification.
- (3). A successful recertification audit is required by the anniversary date in the third year following certification to retain certification.

#### 9.3.(5) Loss of Certificate of Recognition

A large employer will have their Certificate of Recognition removed for the following reasons:

- (1). They are no longer registered with SafetyDriven.



- (2). Failure to complete a maintenance audit.
- (3). Failure of a recertification audit.
- (4). Evidence of fraudulent activity or misrepresentation in the Certificate of Recognition process.

#### 9.3.(6) Appeals Process

- (1). Any disagreement with a decision of SafetyDriven with regard to any aspect of the certification process must be communicated in writing to SafetyDriven.
- (2). The process for filing a dispute and the steps to its resolution are described in the policy: Dispute Resolution.

#### 9.4 References

[Employer Registration](#)

[Large Employer Internal Auditors](#)

[Large Employer Audit Tool](#)

[Dispute Resolution](#)

Last Reviewed April 27, 2023





## 10 – Small Employer Audit

### 10.1 Section Description

This section describes the processes and requirements of Certificate of Recognition (COR) audits for small employers.

### 10.2 Key Points

- (1). A small employer may participate in a certification, maintenance, limited scope, or recertification audit.
- (2). Small employer certification, recertification, and limited scope audits may be conducted by either an internal or external auditor.
- (3). Small employer maintenance audits may be conducted by either an internal or external auditor.

### 10.3 Policy

#### 10.3.(1) Conditions

- (1). To participate in the small employer audit, an employer must have fewer than 20 workers, be registered with SafetyDriven - TSCBC (SafetyDriven), and have completed the training described in the section: [Small Employer COR Certification](#).
- (2). Small employers wishing to challenge the small employer audit may do so on application to and approval by SafetyDriven.

#### 10.3.(2) Types of audits

- (1). There are three types of audits which a small employer will participate in during the Certificate of Recognition process: certification, maintenance, and recertification. An employer may also participate in a limited scope audit.
- (2). A certification audit is the initial audit which an employer must pass to obtain a Certificate of Recognition.
- (3). Maintenance audits are conducted before the end of the first and second calendar year following certification or recertification.
- (4). A recertification audit is the audit which an employer must pass before the certification anniversary date in the third year following certification or recertification.
- (5). A limited scope audit may take place if an employer is unsuccessful in a certification or recertification audit.
- (6). Not including limited scope audit, there must be six months between the end of last audit (site-visit) and the start of the current audit (site visit).

#### 10.3.(3) Safety Program Evaluation

- (1). A Safety Program Evaluation is an informal comparison of an organization's safety program against the standards described in the [Small Employer Audit Tool](#).
- (2). Prior to requesting an audit an employer should conduct a Safety Program Evaluation to determine the likely success of the audit, and to identify and remedy potential shortfalls.



- (3). SafetyDriven may decline an application for an audit if it is evident that the employer is unprepared for a COR audit.

#### 10.3.(4) Auditors

- (1). Certification and recertification audits may be carried out by either an internal auditor or an external auditor.
- (2). Maintenance audits may be carried out by either an external auditor or an internal auditor.
- (3). The certification of small employer internal auditors is described in the section: [Small Employer Internal Auditors](#).
- (4). The certification of external auditors is described in the section [COR External Auditors](#).

#### 10.3.(5) Application

- (1). At Least 14 days prior to initiating a COR audit a completed [COR Notice of Audit Form](#) must be submitted to SafetyDriven. The Notice of Audit Form is accessed from the [Auditor Forms page](#) on the SafetyDriven Website.
- (2). The audit may not proceed without the approval of SafetyDriven
- (3). The audit must commence no later than thirty days after the 'Anticipated start date of onsite audit activities,' submitted in the Notice of Audit. The audit must be completed within thirty days and an audit report submitted to SafetyDriven

#### 10.3.(5) Certification Audit

- (1). The certification audit may be carried out by an accredited internal or external auditor.
- (2). The small employer audit is carried out using the [Small Employer Audit Tool](#) and all onsite audit activity and the audit report must be completed within 30 days.
- (3). Once the audit is completed the external auditor must submit a report of the audit to SafetyDriven.
- (4). An average score of at least 80% on all elements, and a score of no less than 50% on any single element must be achieved to pass the audit.
- (5). If a passing score is not achieved, at the discretion of SafetyDriven, a limited scope audit may be permitted after any identified shortfalls are addressed.
- (6). When a small employer has been successful in passing the certifying audit, and the company has supplied a suitable action plan within 21 days of audit acceptance, SafetyDriven will notify WorkSafeBC and recommend that a Certificate of Recognition be awarded.
- (7). If a Certificate of Recognition is awarded, SafetyDriven will forward the certificate to the employer once it is received from WorkSafeBC.

#### 10.3.(6) Maintenance Audits

- (1). Two maintenance audits must be completed in each three-year audit cycle. The first within one year and the second within two years of a certification or recertification audit.
- (2). Maintenance audits may be carried out by either an internal or external auditor.
- (3). Maintenance audits are carried out using the [Small Employer Audit Tool](#) and all onsite audit activity and the audit report must be completed within 30 days.



- (4). Once the audit is completed the auditor must submit a report of the audit to SafetyDriven.
- (5). An average score of at least 80% on all elements, and a score of no less than 50% on any single element must be achieved to pass the audit.
- (6). If a passing score is not achieved the certification will not be lost but regardless of the score the employer must provide a written action plan within 21 days of audit acceptance outlining the steps to be taken to remedy any shortfalls.
- (7). When an employer has met the requirements of a maintenance audit SafetyDriven will notify WorkSafeBC of the results of the audit.

#### 10.3.(7) Recertification Audits

- (1). A recertification audit must be completed within three years of the initial certifying audit or previous recertification audit.
- (2). The recertification audit is carried out using the [Small Employer Audit Tool](#).
- (3). An internal or external auditor must complete the audit for the employer and submit the audit report to SafetyDriven within 30 days of its commencement.
- (4). An average score of at least 80% on all elements, and a score of no less than 50% on any single element must be achieved to pass the audit.
- (5). If a passing score is not achieved, at the discretion of SafetyDriven, a limited scope audit may be permitted after any identified shortfalls are addressed.
- (6). When an employer has been successful in passing the certifying audit and has supplied a suitable action plan addressing shortfalls, SafetyDriven will notify WorkSafeBC and recommend that a Certificate of Recognition be awarded.
- (7). If a Certificate of Recognition is awarded SafetyDriven will forward the certificate to the employer once it is received from WorkSafeBC.

#### 10.3.(8) Limited Scope Audits

- (1). A limited scope audit may take place after an employer has failed either a certification or recertification audit.
- (2). The limited scope audit will address only those elements which resulted in the failure of the certification or recertification audit.
- (3). A request for a limited scope audit must be made by the employer directly to SafetyDriven within 30 Days of receiving the audit results.
- (4). Approval for a limited scope audit is entirely at the discretion of SafetyDriven and will only be provided under the following circumstances:
  - (a). The failure of the certifying or recertifying audit is limited to specific elements and not systemic faults in the employer's safety management system,
  - (b). and there is a reasonable expectation that the employer can address the shortfalls identified in the failing audit.
- (5). If approval is provided, the limited scope audit must be completed, and an audit report submitted within 90 days.



#### 10.3.(9) Audit Report

- (1). Following completion of an audit, a report in a format acceptable to SafetyDriven, must be submitted to the COR Department.
- (2). Within thirty days after receiving the audit report, or in a period of time appropriate to circumstances, the COR Department will conduct a desktop review of the document. The desktop review is described in the policy: [Audit Quality Assurance](#).
- (3). At the conclusion of the desktop review the audit will be determined to have failed or passed or will be referred for further action.
- (4). The employer must also submit an action plan based on deficiencies identified in the audit report. The action plan will be reviewed by the COR Department.

#### 10.3.(10) Failure of an Audit

- (1). Failure of a certification audit will result in COR certification not being achieved.
- (2). Failure of a maintenance audit will not result in the loss of COR certification.
- (3). Failure of a recertification audit will result in certification being removed.
- (4). Failure of a limited scope audit will result in COR certification not being achieved or being removed.

#### 10.3.(11) Dispute Resolution Process

- (1). Any disagreement with a decision by SafetyDriven regarding any aspect of the audit process must be communicated in writing to SafetyDriven.
- (2). The process for filing a dispute and the steps to its resolution are described in the section: [Dispute Resolution](#).

## References

[Small Employer COR Certification](#)

[Small Employer Internal Auditors](#)

[Small Employer Audit Tool](#)

[COR Notice of Audit](#)

[Dispute Resolution](#)

[Audit Quality Assurance](#)

Last Reviewed April 27, 2023



## 11 – Small Employer COR Certification

### 11.1 Section Description

This section describes how small employers obtain and retain a Certificate of Recognition (COR).

### 11.2 Key Points

To obtain and retain a Certificate of Recognition small employers must:

- (1). Have an employee become certified as a COR internal auditor.
- (2). Pass a certification audit.
- (3). Complete maintenance audits as required.
- (4). Complete recertification audits as required.

### 11.3 Policy

#### 11.3.(1) Registration

- (1). Small Employers must be operating with fewer than twenty employees.
- (2). Reference: [Employer Registration policy](#).

#### 11.3.(2) Small Employer Training

- (1). A representative of the employer must complete a course of training and become certified as an internal auditor as described in the policy: [Small Employer Internal Auditors](#).

#### 11.3.(3) Audit Preparation/Safety Program Evaluation

- (1). Following training, and prior to a certification audit, small employers should evaluate their operations to determine their degree of compliance with the elements of the [Small Employers Audit tool](#).
- (2). Any shortfalls or gaps in their compliance with the audit tool should be addressed prior to any formal certification audit.

#### 11.3.(4) Audits

- (1). Successful completion of a certifying audit is required before an employer can obtain a Certificate of Recognition.
- (2). Maintenance audits are required before the end of the first and second calendar year following certification.
- (3). A successful recertification audit is required at the end of the third year following certification to retain certification.

#### 11.3.(5) Loss of Certificate of Recognition

A small employer will have their Certificate of Recognition removed for the following reasons:

- (1). They are no longer registered with SafetyDriven.
- (2). Failure to complete a maintenance audit.



- (3). Failure of a recertification audit.
- (4). Evidence of fraudulent activity or misrepresentation in the Certificate of Recognition process.

#### 11.3.(6) Appeals Process

- (1). Any disagreement with a decision of SafetyDriven with regard to any aspect of the certification process must be communicated in writing to SafetyDriven.
- (2). The process for filing a dispute and the steps to its resolution are described in the policy: [Dispute Resolution](#).

#### 11.4 References

[Employer Registration](#)

[Small Employer Internal Auditors](#)

[Small Employer Audit Tool](#)

Last Reviewed April 27, 2023



## 12 – Owner Operator COR Audit and Certification

### 12.1 Section Description

This section describes how owner operators obtain and retain a Certificate of Recognition (COR).

### 12.2 Key Points

To obtain and retain a Certificate of Recognition owner operators must:

- (1). Have an active WorkSafeBC Account.
- (2). Successfully complete training on individual safety programs and program review.
- (3). Pass a certification audit.
- (4). Complete maintenance audits as required.
- (5). Complete recertification audits as required.

### 12.3 Policy

#### 12.3.(1) Registration

- (1). Owner Operators must be doing business with fewer than three employees including themselves.
- (2). Reference: [Employer Registration policy](#).

#### 12.3.(2) Owner Operator Training


- (1). The owner operator must complete a course of training on safety program contents and become qualified to evaluate their records and safety activities.
- (2). Following training, owner operators will evaluate their operations to determine their degree of compliance with the elements of the Owner Operator Self Evaluation form.
- (3). Any shortfalls or gaps in compliance with the audit tool should be addressed prior to submitting the Self Evaluation form for review.

#### 12.3.(3) Maintaining the Certificate of Recognition

- (1). Over the three-year cycle of COR certification, the owner operator must show evidence of a minimum of 4 hours of ongoing safety training related to their position. Training may be a single course, or several shorter courses taken over the three-year cycle.
- (2). Maintenance evaluations are required by the end of the first- and second-year following certification.
- (3). A successful recertification audit is required before the anniversary date in the third year following certification to retain certification.

#### 12.3.(4) Loss of Certificate of Recognition

An owner operator will have their Certificate of Recognition removed for the following reasons:

- (1). They are no longer registered with SafetyDriven.
  - (2). Failure to complete a maintenance audit.
  - (3). Failure of a recertification audit.
  - (4). Failure to undertake ongoing safety related training.
- 

- (5). Evidence of fraudulent activity or misrepresentation in the Certificate of Recognition process.

#### 12.3.(5) Appeals Process

- (1). Any disagreement with a decision of SafetyDriven with regard to any aspect of the certification process must be communicated in writing to SafetyDriven.
- (2). The process for filing a dispute and the steps to its resolution are described in the policy: [Dispute Resolution](#).

#### 12.4 References

[Employer Registration](#)

OO Self-Evaluation Form

Last Reviewed April 27, 2023





## 13 – Quality Assurance

### 13.1 Section Description

This section describes quality assurance practices in the Certificate of Recognition program.

### 13.2 Key Points

- (1). The certificate of recognition auditing process is supported by a quality assurance process.
- (2). All audit reports are subject to a desktop review.
- (3). Auditor performance will be evaluated through the quality of audit reports and client feedback.
- (4). Follow-up verification audits will be conducted on selected audit reports.

### 13.3 Policy

#### 13.3.(1) Scope

- (1). The Certificate of Recognition program evaluates the safety management systems of employers against a defined external standard. The integrity of the program depends upon that evaluation process being consistent and accurate. Quality assurance is the process by which SafetyDriven – Trucking Safety Council of BC (SafetyDriven) will ensure consistency and accuracy.
- (2). The general principles of the quality assurance program include the desktop review of all audit reports, the provision of feedback to auditors, and the continuous improvement of auditing practices.

#### 13.3.(2) Desktop Review

All audit reports received by SafetyDriven will be subject to a desktop review by a COR Advisor. At a minimum, a desktop review will evaluate the following:

- (1). Obvious errors of fact.
- (2). Arithmetic errors.
- (3). Internal inconsistencies in the evaluation of the audit elements.
- (4). Lack of detail or clarity in the descriptive sections of the audit report.
- (5). Obvious failures to follow proper audit protocols.
- (6). In the event that the desktop review identifies concerns with the audit report, the COR Advisor will consider one or more of the following actions:
  - (a). Deem the audit to be unsuccessful.
  - (b). Return the document with comments identifying the concerns and request edits.
  - (c). Initiate a verification audit.

#### 13.3.(3) Client Feedback

- (1). On completion of the external audit a survey will be provided to the client regarding their experience with the audit process. The survey must be completed and returned to SafetyDriven prior to the audit being entered into the iCOR portal at WorkSafeBC.



#### 13.3.(4) Verification Audits

- (2). A verification audit is an independent review of a previous audit and may consist of the complete repetition of the audit, or a limited scope onsite audit review (OSAR) focused on particular elements. Verification audits may be conducted by external auditors retained by SafetyDriven or by SafetyDriven staff.
- (3). As a general standard, a minimum of 10% of all certification or re-certification audits returned each year will be randomly selected for a verification audit.
- (4). A verification audit may also be initiated as a result of concerns noted during a desktop review or as a result of a complaint regarding the conduct of an audit.
- (5). Should a verification audit identify or confirm an area of concern regarding either an auditor's performance or an employer's certification SafetyDriven will take whatever steps are appropriate to ensure that the concern is resolved.

#### 13.3.(5) WorkSafe Initiated Verification Audits

- (1). Verification audits may be initiated by WorkSafeBC based upon concerns identified by the prevention, claims, or assessment departments regarding an employer.
- (2). A WorkSafe initiated verification audit will be conducted in the same manner as a SafetyDriven initiated verification audit with the results communicated to WorkSafeBC.

#### 13.3.(6) External Auditor Evaluation

- (1). External auditor performance will be evaluated on the basis of
  - a. Employer complaints,
  - b. employer feedback, and
  - c. the quality of the audit reports which they submit.
- (2). Shadow Audits conducted by SafetyDriven staff or designated evaluators.  
Approximately 10% of the external auditor pool will have a shadow audit each year.
- (3). Auditors will receive feedback on the evaluation of their performance to support the continuous improvement of their professional skills.
- (4). Poor performance or malfeasance by an auditor will be dealt with through the processes described in the [COR External Auditors](#) policy.

### 13.4 References:

[COR External Auditors](#)

Last Reviewed April 27, 2023



## 14 – Dispute Resolution

### 14.1 Section Description

This section describes the process to resolve disputes arising out of decisions by SafetyDriven - TSCBC (SafetyDriven) regarding the administration of the Certificate of Recognition program and all other Council programs.

### 14.2 Key Points

- (1). All decisions by SafetyDriven which affect participants in the Certificate of Recognition program and other Council programs may be disputed.
- (2). Disputes must be initiated, and follow the processes defined by this policy.

### 14.3 Policy

#### 14.3.(1) Scope

- (1). A decision by SafetyDriven with regard to the Certificate of Recognition program which affects a participant in the program may be disputed. In practice, such a participant may be an organization, an agent of an organization, an external auditor, or a contractor of SafetyDriven. Examples of decisions which may be disputed might include those arising out of the training and education of COR participants, the auditing of candidate organizations, the actions of an auditor, or the recommendation that an organization receive or not receive a Certificate of Recognition.
- (2). A decision by SafetyDriven which affects a participant in all other SafetyDriven activity may also be disputed. In practice, such a participant may be an organization, an agent of an organization, or a contractor of SafetyDriven. An example of a decision which may be disputed may include those arising out of the training and education of participants.
- (3). A dispute may be resolved by the reversal of the decision under dispute, the dismissal of the dispute, or by a course of action which addresses the issue under dispute.

#### 14.3.(2) Limitations

- (1). A dispute may only be initiated by the person or organization affected by the decision.
- (2). A dispute must be initiated within thirty days of the decision date, or the date that the person or organization affected by the decision became aware of the decision.

#### 14.3.(3) Initiating a Dispute

- (1). A dispute regarding a decision of SafetyDriven must be initiated in writing to SafetyDriven.
- (2). To be considered, the written notice of dispute must clearly describe:
- (3). The person or organization initiating the dispute.
- (4). The decision under dispute.
- (5). The issue under dispute.



- (6). The disputant's position on the issue with any relevant facts.
- (7). The remedy sought by the disputant.

#### 14.3.(4) Management Committee of SafetyDriven - TSCBC

- (1). A dispute regarding a decision of SafetyDriven will be forwarded to the SafetyDriven Management Committee by the Executive Director.

#### 14.3.(5) Initial Response to a Dispute

- (1). Within 30 days of SafetyDriven receiving the written dispute the decision maker will provide a written response to the disputant.

#### 14.3.(6) Second Response to a Dispute

- (1). If the disputant is not satisfied with the first response to the dispute they may, within 30 days, submit a written request for a review of the decision and the response to the Executive Director who will present this to the Management Committee.
- (2). Upon receiving the request, the Committee will review the complaint with the option to retain legal counsel and/or include WorkSafeBC with any related costs to be shared equally by SafetyDriven and the disputant.
- (3). The Committee may choose to render a response based upon the written evidence and submissions provided, or may meet with the disputant, SafetyDriven staff, or other persons who have an interest in the dispute.
- (4). The disputant is expected to co-operate with the Committee. Failure to co-operate may be considered grounds to dismiss the dispute.
- (5). Within 90 days of receiving the request for review the Committee will provide a written response to the disputant.
- (6). The written response of SafetyDriven is final and is not subject to further review by SafetyDriven or the committee.

#### 14.3.(7) Governing Principles

- (1). The resolution of any dispute will be governed by the written policies of SafetyDriven, any relevant public policy, and by the principles of natural justice.

Last Reviewed April 27, 2023



## Change Log

Date	Section	Change
Apr.26/23	All	"the council" changed to "SafetyDriven" Added 'Return to Top' arrows to the end of each section
	1	Formatting updated. Definition of "Operational Supervision" added
	2.2	Added, "and presentation of a valid reason for a variance."
	5	Formatting
	6	Formatting Links Updated
	7	Formatting
	7.3.(4)(2)	"can" replaced with "may"
Apr 27/23	8.3	Changed "Safety Evaluation" to "Safety Program Evaluation" Updated Links
	8.3(4)(3)	Appended "during the audit."
	9.3(1)(1)	"more that twenty" changed to "twenty or more". "doing business" changed to "operating"
	9.3(4)(3)	"the end of" changed to "the anniversary date in".
	10	Links updated.
	10.3(2)(1)	Removed extra word 'in'
	10.3(3)	Changed Safety Evaluation to Safety Program Evaluation
	11.3(3)	Added clause "Audit Preparation/Safety Program Evaluation" Clauses re-numbered
	12.3(3)	Changed "the end" to "before the anniversary date"
	13/3(1)	Removed extra word "that".
	13.3(2)	Replaced "the" with 'a'.
	13.3(2)(6)(b)	Added "and request edits".
	13.3(6)	Added Heading Formatted clause

