

Heavy Construction Safety Association of Saskatchewan Inc.

Quality Assurance Program for Health and Safety Audits

Disclaimer

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HCSAS Quality Assurance Program Policy for COR™ and SECOR™ Audits

The Heavy Construction Safety Association of Saskatchewan Inc., is dedicated to providing our members with quality safety advisory services throughout the province. Through our awareness training programs and active partnerships, our members and supporters have collectively reached a high level of health and safety excellence.

The HCSAS is committed to maintaining these levels of excellence through the development and implementation of a Quality Assurance Program. Its primary focus will be monitoring the quality of auditor training, compliance with audit protocol, and corrective action follow-up. System-wide measurements will be used to assist industry with future health and safety initiatives.

Board members and the Executive Director of HCSAS will set industry audit standards. To ensure that these standards are met, written procedures will be developed and revised by the COR™ Coordinator and approved by the Executive Director. Periodic review will occur to ensure that standards are current. These standards will be communicated to all members on a continual basis. The Quality Assurance Program will be reviewed annually by the Executive Director to maintain industry objectives and continuous improvement.

HCSAS management expects employers and employees, at all levels, to take an active role in the success of the Quality Assurance Program. Through this team approach to quality management, we can make positive contributions to reduce injuries and property damage in the construction industry.

Al Goldstone, CRSP
HCSAS Safety Director

Dated: December 1, 2017

Quality Assurance Program Terminology

Audit

A structured process used to verify the health and safety performance of a management system.

Auditee

The organization or company whose safety program is being audited.

Auditor

An individual who has the qualifications and skills to measure H & S performance against a given standard.

ATP

HCSAS Auditor Training Program.

ARSC

Audit Review Sub-Committee.

Saskatchewan Labour

The provincial authority overseeing the Saskatchewan Employment Act and the Saskatchewan OH&S Regulations.

Base of Operation

A company is considered to have a base of operation in the province if any of the following criteria apply:

- The company has a location with a Saskatchewan address.
- They work in the province for 2 months (60 days) or longer.
- They have a payroll in Saskatchewan of more than \$100,000/year.

COR™ and SECOR™

The *Certificate of Recognition* program is a voluntary health and safety partnership between HCSAS and the construction industry. The COR™ and SECOR™ programs are widely used as pre-qualification requirements for many purchasers of construction services. An employer who successfully meets the COR™ or SECOR™ program minimum requirements becomes COR™ or SECOR™ certified within the province.

Employee

An individual employed by an employer or organization that is compensated for his/her services.

Employer

An employer that is being audited. Sometimes referred to as the auditee.

Owner

An owner as defined in the *Saskatchewan Occupational Health and Safety Act, 2013*.

“Owner” Includes:

- (i) *A trustee, receiver, mortgagee in possession, tenant, lessee or occupier of any lands or premises used or to be used as a place of employment; and*
- (ii) *Any person who acts for or on behalf of a person mentioned in sub clause (i) as that person’s agent or delegate.*

H & S

Health and Safety

Reciprocity

For the purpose of this document, reciprocity has two forms.

For an out-of-province employer who is looking to work long term in Saskatchewan, they can apply for Out-of-Province COR™ Equivalency.

For an out-of-province employer who is looking for a bidding letter, they can apply for a COR™ Reciprocity Bidding Letter.

WCB

Workers' Compensation Board (Saskatchewan)

HCSAS Quality Assurance Program Roles and Responsibilities

HCSAS

- To manage the Quality Assurance Program.
- To design and update the Auditor Training Program.
- To liaison with both auditors and auditees.
- To promote conflict resolution relating to the audit process.
- To liaison with industry, Saskatchewan Labour, and the WCB regarding related industry issues.
- To review audits.
- To maintain a current database on COR™ and SECOR™ status.
- To control and maintain security of audit document.

HCSAS Members

- To ensure conflicts of interest are avoided.
- To ensure audits are properly planned and scheduled in advance to ensure all areas are audited within the proper timeline for COR™ and SECOR™ certification.
- To foster a positive audit environment by assisting and co-operating with the auditor so that audit objectives can be met.
- To provide access to facilities and supporting information as requested by the auditor.
- To actively participate in the audit system by performing reciprocal audits and maintain a qualified auditor on staff.
- To develop and implement corrective action(s).
- To provide the HCSAS with feedback on the audit process to assist with continuous improvement.

Section 1: Program Objective

Objective: The Quality Assurance Program is designed to ensure audits are performed in accordance with the industry audit standard.

1.1 Scope

The Quality Assurance Program applies to all industry members, supporter members, and HCSAS staff.

Section 2: Auditor Training Standards

Objective: To establish pre-requisites and performance standards for auditor training.

2.1 Pre-Requisites for Auditor Training Program (ATP)

Participants shall have a working knowledge of health and safety program development and management. Safety Excellence Leadership and Principles of Health & Safety Management must be completed prior to enrolment in this program. Equivalencies may be granted upon review of written submissions.

2.2 Auditor Training Program Standards

Minimum standards for auditor training require trainees to:

- Attain a minimum of 80% average in classroom theory.
- Submit a self-audit within 6 months of completing the course. All audits are reviewed and must meet minimum standards before an Auditor Certificate is issued. This certificate is issued by the HCSAS.
- Repeat the entire Auditor Training Program when an unacceptable self-audit is submitted and not corrected within 6 months of completing the course. (ATP retraining will be at the discretion of the HCSAS staff).

2.3 Maintaining Auditor Certification

To maintain current certification auditors will:

- Submit a maintenance audit every year.
- Attend the HCSAS re-certification program every 3 years prior to expiration date.
- Abide by the HCSAS Code of Ethics, at all times.
- Auditors must maintain their own certification.

2.4 Code of Ethics for HCSAS Auditors

Auditors must maintain a high level of professional conduct at all times. To ensure that quality audits are consistently performed, auditors must:

- Ensure that information is accurately interpreted and communicated.
- Ensure that information is based on objective findings and free of bias.
- Practice sound judgment.
- Practice the highest standards of honesty and integrity.
- Avoid conflicts of interest.
- Protect confidential information and share only when legally obligated.
- Continue professional growth and development.

2.5 Independent Auditors

Independent consultants who have completed auditor training through HCSAS or other recognized agencies must:

- Be able to provide current proof of auditor certification.
- Use the standard HCSAS audit tool to measure employers.
- Abide by the HCSAS *Code of Ethics*.
- Have 5 years' experience in the construction industry.

Employers must have prior approval by the HCSAS of auditors retained for COR™ and SECOR™ audits.

2.6 Program/Course Review

The HCSAS will perform internal reviews of the Auditor Training Program material.

Section 3: HCSAS COR™ and SECOR™ Committee

Objectives: To establish audit guidelines for industry.

3.1 Roles and Responsibilities

The COR™ and SECOR™ Committee is comprised members of the HCSAS Executive Board members. They are selected to:

- Review industry audit standards.
- Recommend changes and new initiatives to the HCSAS Executive Board members.
- Review breaches of ethics, appeals, and recommending corrective/disciplinary action.
- Review of Auditor Training Program.
- Review and update of the industry audit document.
- Periodic review of the audit process.

3.2 COR™ and SECOR™ Audit Appeals

An employer that appeals an audit evaluation must first address its concerns to the HCSAS Safety Director through a written request and review. All approved audit appeals will be handled by an HCSAS staff auditor, or an approved third party auditor. An employer that chooses to appeal must do so by these guidelines:

- Provide a written request to the HCSAS Safety Director requesting review.
- Provide written documentation supporting the reasons why the audit evaluation is being disputed and how, in its opinion, the employer believes that it is complying with the item(s) in question.

Section 4: Process Control for External Audits

Objective: To establish process controls for audits.

4.1 Eligible Employers

All employers with an active Saskatchewan WCB account and the required training, are able to use the audit system.

4.2 Pre-Requisites for External Audits

Before the external audit may proceed, the employer must have:

1. At least one full-time employee complete *Principles of Health & Safety Management, Auditor Training Program (Certification), Safety Excellence Leadership, plus one of the following: WHMIS Train the Trainer GHS (or current standard) or Basic Training Techniques.*
2. An implemented/established H&S program.
3. Have an active worksite available for the audit.
4. A minimum of 50% of the peak staff still working.
5. Operations that are to be included in the audit must be available for auditing.

Note: If an employee that has all COR™ training requirements terminates employment with the COR™ or SECOR™ employer, it is the responsibility of the COR™ or SECOR™ employer to notify the HCSAS and re-certify a full-time employee as soon as possible. A deadline of 6 months (from the date of employee termination) will be allowed to complete this retraining. It is the responsibility of the employer to maintain COR™ and SECOR™ standards throughout. Failure to comply may result in the annual COR™ or SECOR™ renewal not being offered.

4.3 Health and Safety Program

When requested, HCSAS staff will review the employer H&S program for content and provide feedback for improvement.

4.4 Audit Request in pursuit of COR™ or SECOR™

The employer (auditee) must contact the HCSAS when ready to proceed with the external audit. The HCSAS will require:

- Submission of a passing baseline audit with a written request to have an external audit performed by HCSAS.
- The current employer legal name as listed with WCB.
- The current address, phone number, E-mail, and key contact.
- The employer WCB account number(s) and industry rate code(s).
- Location(s) of the active work site(s).
- Number of employees at peak times and number of employees at time of audit.
- The company must have a minimum of 3-6 months' documentation available.
- The external audit to achieve COR™ or SECOR™ must be performed within three (3) months of submitting the passing baseline audit.

The employer must have at least one (1) active work site and a minimum of 50% of the peak staff still working for the external audit to progress.

It is the sole responsibility of the employer to schedule the audit during active work periods.

Note: All active work site(s), within the province of Saskatchewan, must be revealed to the HCSAS staff on request. Failure to do so may result in termination of the external audit, or further action may be taken, including suspending a COR™ or SECOR™ certificate for a period of time (not exceeding six months), and/or auditing all worksites within Saskatchewan, as determined by the Safety Director.

4.5 Auditor Selection by HCSAS Staff

HCSAS reserves the right to select the External Auditor.

4.6 External Audit Costs

All "R" code employers are allowed one external audit every three (3) years at no cost. Where an "R" code employer is required to have an annual external audit, or a re-audit within 90 days of a below standard audit, HCSAS reserves the right to charge a daily fee plus expenses for the audit.

Non "R" code COR™ employers will be charged \$1,000.00 a day for the audit; \$500.00 per day for SECOR™, plus expenses and applicable taxes. A deposit of \$1,500.00; \$750.00 for SECOR™, must be received prior to the external audit commencing.

Any costs associated with the regulatory non-compliance audit (9.1), or a below standard COR™ or SECOR™ external audit (7.1), will be paid for by the employer (auditee). Failure to pay for the audit may result in COR™ or SECOR™ being revoked.

4.7 Independent Audits

An employer can request approval from the HCSAS for an independent third party audit. This employer must obtain approval from the HCSAS before the audit commences. Failure to do so may result in audit rejection. The employer will ensure the auditor is experienced and will ensure that a conflict of interest does not exist.

This process may be utilized for annual internal audits only.

Section 5: Industry Document Selection

Objective: To establish guidelines for proper audit document selection.

5.1 HCSAS Audit Document Selection

There are two (2) HCSAS Audit Documents designed for the construction industry:

1. Standard Audit Document (COR™) for companies of 10 or more employees.
2. Small Business Audit (SECOR™) for companies of 9 or fewer employees.

5.2 Non-Industry Audit Document

There are a number of audit documents available in various industries and safety associations. It is expected that an employer who wishes to have their COR™ or SECOR™ through the HCSAS will use the audit that meets the section 5.1 standard.

Section 6: Audit Approval

Objective: To set minimum performance standard for HCSAS Audits.

6.1 Audit Submission

For **internal** audits, the employer is responsible for submitting the original audit document with an attached action plan to the HCSAS.

For **external** audits, the employer must submit an action plan to HCSAS within 30 days of the external audit being presented. Original documents must be completed in ink.

The action plan may be in the audit summary if it includes the information outlined in section 7.5.

6.2 Action Plan Submission

A corrective action plan is required by all employers post audit. All employers who have met standards for qualification or maintenance of COR™ or SECOR™ standards may be subjected to follow-up evaluation on the action plan submitted. This will be conducted randomly at the Safety Directors discretion. Action Plan content will be followed-up and reviewed in the next scheduled external audit.

6.3 HCSAS Audit Review

All audits will be reviewed by HCSAS COR™ Dept./Staff auditors.

6.4 Action Plan Follow-up

All action plans must be submitted within 30 days of the external audit being presented to the company. All action plans are to be sent to the HCSAS to be reviewed and approved by the HCSAS staff.

6.5 Minimum Rating for COR™ and SECOR™ Audits

To meet the COR™ and SECOR™ standards, the external and internal audits must:

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

Any failure to meet the COR™ and SECOR™ standards may result in further external audits at the employer's (auditee) expense.

6.6 Quality Audit Protocol

Quality audit protocol requires completed documents to:

- Be in ink, neat, and free of errors.
- Be added correctly.
- Justify all non-applicable (N/A) notes in the comment sections.
- Justify all deficient areas with notes in the comment sections.
- Provide meaningful feedback for continuous improvement throughout the document.
- Parallel audit element scoring and follow completion guidelines.
- Include all required documentations.

6.7 Final Audit Review for COR™ or SECOR™

When the external audit meets industry audit standard, the HCSAS will approve the audit for a Certificate of Recognition (COR™) or Small Employer Certificate of Recognition (SECOR™).

6.8 COR™ or SECOR™ Accreditation

COR™ or SECOR™ will be issued when all requirements have been met. The certificate is signed by the current HCSAS President and the Safety Director.

6.9 Certification Length

COR™ and SECOR™ certificates will be issued annually throughout the three-year audit cycle*. In circumstances, as determined by the HCSAS Safety Director, certificates may be issued for periods less than the normal one-year term. This may include, but is not limited to, situations which disclose:

- A number of elements within the audit at 50%.
- A significant variance in compliance between audit element scores and sites audited.
- Where audit scores are low and no change has been seen in the safety program over a number of audit cycles.
- Failure to maintain minimum standards by Saskatchewan Labour set forth in the *Saskatchewan Employment Act, 2013 and/or Regulations, 1996*.

Note: The HCSAS reserves the right to temporarily suspend, revoke, and/or limit the length of time that a Certificate of Recognition is issued for.

The HCSAS reserves the right to conduct spot audits on COR™ and SECOR™ certified employers at any time to ensure that COR™ and SECOR™ audit standards, as well as, Quality Assurance standards are maintained.

** Where a Saskatchewan based employer has no work, HCSAS may grant up to a one-year extension on an expiring COR™ or SECOR™. If this is done, the audit cycle will remain the same for subsequent audits.*

6.10 Out-of-Province COR Equivalency

For employers that have attained their provincial Health and Safety certification and are applying for equivalency to the Saskatchewan COR™ program, the requirements are:

- Completion of a HCSAS COR™ equivalency application form, including:
- Submission of a copy of the most recent internal and external audit that meets standard.
- Submission of a copy of their provincial COR™ certificate.
- Submission of a copy of their employee training records.
- Proof of HCSAS SEL course or Work Safe Saskatchewan OH&S Level 1 & 2 courses.
- Have paid any applicable administration fees.

Once the above-mentioned items have been submitted, reviewed, and approved, the HCSAS will issue a Letter of Equivalency. A COR™ equivalency will be issued once a Saskatchewan job site has been successfully audited. The COR™ equivalency is meant for companies that have a base of operation in Saskatchewan (this would include companies that work in Saskatchewan for at least 2 months every year or have over \$100,000.00 in Saskatchewan WCB payroll)

Note: For those employers that achieve the Certificate of Recognition equivalency, they are required to maintain the employer COR™ according to HCSAS requirements.

6.12 Changes to Existing COR™ or SECOR™

If an employer expands its scope of operations to a different WCB Rate Code, they may request COR™ or SECOR™ registration for the new division through HCSAS. HCSAS will advise the employer what necessary documentation is required. When there is a significant change in the scope of work, or ownership, HCSAS may require new certification. The following documentation is required prior to the issuance of any changes to COR™ or SECOR™:

A letter from the employer that shows:

- The establishment of a Saskatchewan Worker's Compensation Board account indicating the number and industry code.
- Descriptions of the types of work being done by the new division or organization.
- Verification that the Health and Safety Program used is the same as when the original COR™ or SECOR™ was issued.
- Written "notice for change", that is signed and dated by a senior company official.

6.13 COR™ and SECOR™ Maintenance

COR™ and SECOR™ are maintained through combined external and internal program audits. The following maintenance schedules are in place:

- Baseline audit and External audit (both scoring 80% or higher).
- COR™ or SECOR™ is issued.
- Internal audit at 1st year anniversary of COR™ or SECOR™.
- Internal audit at 2nd year anniversary of COR™ or SECOR™.
- External audit at 3rd year anniversary of COR™ or SECOR™. If the External audit is above 80% new COR™ or SECOR™ is issued and then cycle repeats.
- Internal audit at 1st year anniversary of re-issue COR™ or SECOR™.
- Internal audit at 2nd year anniversary of re-issue COR™ or SECOR™.
- External audit at 3rd year anniversary of re-issue COR™ or SECOR™.

The external re-certification audit must be completed during the third year prior to the anniversary date. Requests for extensions must be made in writing to the HCSAS prior to COR™ or SECOR™ expiry date. When an employer has allowed the COR™ or SECOR™ to expire, it is the responsibility of the employer to re-apply.

Returned audits will be given a four-week time limit at the Safety Directors discretion to complete corrections and re-submit.

In the external audit year, where they are working in Saskatchewan, they must have an external audit performed by the HCSAS. Failure to do so could result in the revoking of their Saskatchewan COR™ or SECOR™.

6.14 Letter of Intent

The HCSAS will perform administrative audits and will issue a *Letter of Intent (valid for a specified time frame)* upon request, provided:

- The employer has completed all COR™ training requirements (or equivalent).
- The employer has had an HCSAS Staff member review the H&S Manual and confirms all elements are in place.
- An active work-site is not available to complete the audit process.
- For bidding purposes, the external audit cannot be completed due to the construction season slow down or auditor availability.

*A *Letter of Intent* is only issued once and has a maximum 6-month expiry date from date of issue.

6.15 COR™ Reciprocity for Out-of-Province Contractors

The requirements for out-of-province employers applying for a bidding letter to bid for work in the province of Saskatchewan.

- Completion of a “Confirmation of Safety Certification” form from their home construction safety association, and HCSAS Application for COR™ Reciprocity.
- Proof of Saskatchewan Legislation training before any Saskatchewan work begins; HCSAS will want to confirm Section 14 before their Saskatchewan job is finished.

Temporary Letter of Certificate (TLC) – Will be issued when the above is completed and any required administration fees have been paid. *For bidding purposes only.*

Out-of-Province Temporary Letter of Certificate (TLC) - will only be issued to companies that have a recognized COR™ from their home province’s construction safety association (CFCSA only); and do not have a base of operation in Saskatchewan.

The Temporary Letter of Certificate (TLC) will expire at the same time as their home province “Letter of Good Standing”.

6.16 Temporary Letter of Certification Restrictions

The **TLC** will **NOT** be issued when:

- The program does not meet administrative audit requirements, or
- An active work-site is available to complete the audit process, or
- The required four COR™ courses have not been completed by full time employees.

6.17 Temporary Letter of Certification Extensions

Extensions to existing TLCs can be issued once the employer has requested an extension by written submission to the HCSAS:

- That explains the reasons for applying for the extension (e.g. out-of-province).
- That explains that an active work-site was not available for completion of the audit process within the time frame specified in the TLC.
- Re-application may be required.

Note: If it can be shown that an active work-site was available and the audit was not undertaken, the TLC will be revoked for a period of up to one year.

The HCSAS may grant an extension to the Temporary Letter of Certification to those employers that have submitted their external audit for certification and the audit is in the review process.

6.18 Letter of Equivalency

Where a company has complied with section 6.10 (Out-of-Province COR™ Equivalency) a letter of equivalency will be issued.

For Saskatchewan employers who do not have work during an external audit year, HCSAS may grant them a one-year extension under the Letter of Equivalency. This extension is reviewed on a case-by-case basis by the HCSAS COR™ Coordinator, and finalized by the Executive Director. If HCSAS grants the extension, the company must provide a passing internal audit and notify HCSAS as soon as they have a job with an active worksite.

Section 7: Failure to Attain Minimum Audit Score

Objective: To establish protocol for audits that fail to achieve the minimum score.

7.1 Below Standard COR™ or SECOR™ Audit

The company will contact the HCSAS when the audit does not meet minimum standards. Audits that do not meet standard are as follows:

Type 1: The following scores require action plan submission and a repeat audit of the entire H & S program within a 90-day period following the last external audit:

- Less than 80% average score and/or below 50% in three or more elements.

Type 2: The following scores require action plan submission and a Limited Scope Audit of below standard elements within a 90-day period following the last external audit:

- 80% or lower average score and below 50% in two or less elements.

Where employers fail to meet the minimum requirements for re-certification within the time frame (90 days), the COR™ or SECOR™ will be revoked. The employer will not be eligible to apply for a Temporary Letter of Certification (TLC) for a period of 6 months from the date the Certification of Recognition was revoked.

As per section 6.9, HCSAS reserves the right where audit scores are low and no change has been seen in the safety program over a number of audit cycles, to require annual external audits to be performed at the employer's (auditee) expense.

Where an audit has been completed and the audit has not had the close out meeting (with the audit being presented and signed by senior management) within 60 days, the audit will be

deemed incomplete. In the event of the audit being for a new COR™ or SECOR™, the certificate will not be issued. If it is a re-certification audit, the COR™ or SECOR™ will lapse.

NOTE: Section 7.1 **only** applies to existing COR™ or SECOR™ holders. In the case of a new application, with the result of a failing audit, the company will have to implement the recommendations to their safety program prior to submitting another passing baseline audit.

7.2 Failure to Submit Action Plan

Failure to submit an action plan to the HCSAS may result in a repeat audit of the entire H & S program or termination of their COR™ or SECOR™.

7.3 Failure to Request Re-verification

Failure to request a re-verification of below standard elements may result in a repeat audit of the entire H & S program.

7.4 Below Standard INTERNAL Audit

Internal audits submitted to HCSAS for approval must meet established protocol (*refer to 6.6*) and minimum score (*refer to 7.1*).

7.5 Action Plan Contents

COR™ or SECOR™ certified employers must submit an action plan for approval to the HCSAS following any internal or external audit.

A COR™ or SECOR™ employer failing to meet the required standards to maintain a Certificate of Recognition is required to develop a **detailed** action plan that must be signed by the senior management and address:

- Identified H & S program weaknesses.
- Prioritization of concerns.
- Details on proposed corrective actions including a description of short term and long term strategic plans.
- Any other requirements as determined by the HCSAS Safety Director.
- Specific targeted implementation schedules.
- Specific individual(s) assigned to complete the proposed corrective actions.

Section 8 : Auditor Non-Conformance

Objective: To establish guidelines for acceptable auditor performance.

8.1 Incomplete Audit Submission

The HCSAS will contact the auditor when an incomplete audit had been submitted. The HCSAS will not change an audit score without contacting the auditor for discussing and agreeing on the proposed changes. Re-scoring of the audit may take place by the HCSAS based on a mathematical error and/or based on the comments provided in the audit. The role of the HCSAS is to provide guidance regarding audit protocol. Significant deviations identified may result in audit rejection and/or auditor interview, which may result in re-training.

8.2 Perceived Conflicts of Interest

When perceived conflicts of interest arise, the concerns will be forwarded to the Safety Director for review and investigation.

8.3 Conflicts of Interest

Auditors must avoid conflict of interest at all times. These conflicts include but are not limited to the following issues:

- An external auditor who stands to gain financially through recommendations made prior to audit close-out and report submission.
- An external auditor who, through a business relationship, may be perceived to be in conflict.

Conflicts of interest will be reviewed by the Safety Director with the auditee and the auditor. When a significant conflict of interest is verified, the HCSAS may initiate the re-verification audit. The HCSAS may participate in a team audit or may have the employer retain the services of an independent auditor.

Note: The HCSAS recommends that, where possible, the same external auditor not be used for consecutive external audits in order to avoid any perceived conflict of interest. Where a company is required to have a yearly external audit, due to a below standard COR™ or SECOR™ External Audit, the same auditor will be used for the next two external audits (recommended maximum 3 external audits in a row).

8.4 Breach of Ethics/Conflicts of Interest

When the HCSAS establishes that an auditor has intentionally breached the *Code of Ethics*, auditor de-certification will occur. This may also result in audit rejection.

8.5 Appeal Process

An appeal may be launched by the de-certified auditor in writing and forwarded to the attention of the Safety Director. The employer of the below standard internal/external audit may launch an appeal.

Section 9 : Employer Non-Conformance

Objective: To establish uniform audit guidelines for employers.

9.1 Regulatory non-compliance

When an employer has been found in violation of the OH&S Act or Regulations and/or, has been surcharged under the guidelines of the Saskatchewan Workers Compensation Act, or Policy and/or, deficient in industry standards (for example Department of Highway Traffic Accommodation standards), and/or, has been found to be non-compliant with COR™ or SECOR™ standards (section 7.1), or has experienced a fatality, the HCSAS may review and make recommendations for:

- A re-verification audit.
- Yearly external audit.
- Adjusting the time limit to a period less than 3 years for a new or previously issued COR™ or SECOR™.
- Removal of an existing COR™ or SECOR™.

Regulatory non-compliance issues can be brought forward by Saskatchewan Ministry of Labour, Saskatchewan Workers' Compensation Board, Project Owners, or the Heavy Construction Safety Association of Saskatchewan.

It is the sole responsibility of HCSAS to initiate the process. Any costs associated with the regulatory non-compliance audits will be paid for by the employer (auditee). Failure to pay for the audits may result in the COR™ or SECOR™ being revoked.

Sections 10: System Complaints

Objective: To establish uniform guidelines to fairly, objectively, and confidentially deal with any COR™ and SECOR™ system complaints. **ALL COMPLAINTS MUST BE FILED, IN WRITING, WITHIN 1 MONTH OF THE OCCURRENCE to the Safety Director.**

Note: The complaint system is designed to deal with audit system deficiencies and performance issues of the auditor(s) within the system. This section is not intended to handle scoring complaints or routine COR™ or SECOR™ process discrepancies. Routine COR™ or SECOR™ issues will be handled by the HCSAS COR™ Coordinator.

10.1 Complaints by Auditees

- Complaints regarding the auditor, audit process, or employer dissatisfaction will be directed to the HCSAS in writing.
- Complaints will be addressed by the Safety Director and/or the HCSAS Executive.

10.2 Complaint by Others

Complaints can be filed with the HCSAS for a non-conforming COR™ or SECOR™ employer. Complaints can be filed by Saskatchewan Labour, COR™ and SECOR™ holders, other employers or their employees, or the public. The following guidelines will apply when a complaint is filed:

Written complaints may be lodged with the HCSAS. Written complaints must include:

- Organization, contact names, address, telephone, work site location.
- Name and telephone number of person filing the complaint.
- Subject (nature of the complaint).
- Background (issue, substantiation, time lines, those implicated by decisions).
- Recommendations for corrective action.

All complaints will be investigated by the HCSAS.

If an audit (system or limited scope) is required, it will be performed by a qualified auditor (approved by HCSAS), and will be conducted with the permission and full co-operation of the COR™ or SECOR™ holder. If, in the opinion of the Safety Director, a third party audit is required the Safety Director will choose a qualified third party auditor.

10.3 Confirmation of Complaint

A complaint will be considered legitimate when:

- The complaint is verified by the investigation and/or audit, or
- The employer in question refuses to undergo a spot audit or an inspection to prove/disprove the complaint.

10.4 System Action

The following system guidelines will be used when dealing with the results of a confirmation of a complaint.

1. Verified complaints: will follow the process outlined in the Quality Assurance Program and the information will remain on the appropriate employer records. This includes:
 - Auditors, as outlined in Section 8 – Auditor Non-Conformance.
 - Employers, as outlined in Section 7 – Failure to attain minimum audit score; and/or Section 9 – Employer Non-Conformance.
2. Unconfirmed complaints: the information obtained as a result of the investigation will be removed from the company file and the expenses incurred resulting from the investigation activities will not be charged to the employer in question.

10.5 Appeal Process

An appeal may be launched by the party in question, in writing, within 48 hours of the investigation and audit results. *Refer to item 3.2.*

10.6 Complaint Costs

There is a direct charge to the employer for external re-verification audits and/or other investigation costs. Travel and expenses of the external auditor(s) will be billed to the HCSAS and charged to the employer (auditee).

Section 11: Document and Data Control

Objective: To establish guidelines for the control and processing of audit documents.

11.1 Audit Review

The HCSAS personnel will review all audits submitted to HCSAS. The HCSAS will not change an audit score without attempting to contact the auditor for discussing and agreement on the proposed changes. Disagreements on changes will be forwarded to the Safety Director.

11.2 Release of Information

All audit reviews and performance ratings are strictly confidential. These findings will not be released to anyone except as legally required. Independent Safety Consultants working with R-Code Contractors may complete the HCSAS Contractor-Independent Safety Consultant Agreement Form. Upon completion, the submission of the original form, and approval from

HCSAS, the Independent Safety Consultant may contact HCSAS on behalf of the R-code contractor.

11.3 Retention of Records

Audit documents are confidential and will be kept on file with the HCSAS for a minimum of 3 years.

11.4 Revoking COR™ or SECOR™ Certificate

Industry standards to maintain COR™ or SECOR™ certification must be complied with at all times on all sites by the COR™ or SECOR™ employer. Failure to do so may result in the de-certification of a COR™ or SECOR™ holder.

11.5 COR™ or SECOR™ Invalidation

COR™ or SECOR™ will be invalidated by the HCSAS immediately in the following circumstances:

- Failure to submit internal audits in the 2nd and 3rd progress years.
- Failure to respond to the written “Final Notice” sent to the auditee requesting compliance by date indicated in the letter.
- Failure to complete the external audit process (including the final audit presentation and sign off).

COR™ or SECOR™ may also be invalidated due to failure to:

- Comply with COR™ and SECOR™ required standards on all active work sites.
- The HCSAS Staff and/or Executive has verified a complaint and found that a substandard industry practice exists at a location with a COR™ or SECOR™ holder.

Where a company has allowed their COR™ or SECOR™ to lapse three times, the following conditions may be applied:

- Have to retake the four basic COR™ required courses from HCSAS.
- Pay an administration fee.