

LC-COR Audit

**Legislative Compliance Certificate
of Recognition**



TABLE OF CONTENTS:

Features and Benefits of a LC-COR Audit	Page 1
What is the Motivation?	Page 1
What are the Program Goals?	Page 1
LC-COR Audit Discount	Page 2
LC-COR Audit Uses COR Audit Protocol	Page 2
LC-COR Audit Integrates Legislative Compliance with COR	Page 3
Certifying Partners for the LC-COR Audit	Page 3
Audit Report and Risk-Ranked Findings	Page 3
Auditor Selection and Legislative Competency	Page 4
PICS' Technical Services Contact Information	Page 4



Features and Benefits of a LC-COR Audit

- Contractors receive a minimum discount of \$1,000 over typical audit costs due to related efficiencies.
- Using existing COR audit protocol (Partnerships model) in cooperation with various certifying partners (AASP, Enform, etc.).
- Supplements the current COR audit instrument with auditor findings relating to legislative compliance and program implementation.
- Assigns auditors based on their areas of professional competency to the organization being audited and utilizes subject matter experts when appropriate.
- Action items arising from an audit are tracked to completion. Additionally, findings relating to legislative compliance are risk-ranked. Audit findings and the closure of action items are shared with participating clients.

What is the Motivation?

- To ensure the COR (LC-COR Audit) standing with clients is increased and maintained.
- Removes the perception of conflicting interest and increases the transparency relating to audit findings.
- To introduce an implementation/compliance element to audits (making prevention the focus).
- Reduces the need for additional client and third party compliance audits of LC-COR Audit employers.

What are the Program Goals?

- Create confidence in findings and attainment of a LC-COR Audit.
- Create a focus on health and safety program implementation and achieving legislative compliance.
- To reduce the occurrence of overlapping audits due to increased confidence and audit scope.

- To ensure risk-ranked findings are followed through to completion including internal communications.

LC-COR Audit Discount

The LC-COR Audit is available to designated contractors and suppliers at a reduced cost of a **\$1,000 discount** off the last COR certifying audit conducted for the same organization.

Your company discount may be greater than \$1,000, depending on the audit scope. The LC-COR Audit examines implementation and compliance. Canadian Operators are looking for leading contractors to demonstrate this level of performance.

LC-COR Audit Uses COR Audit Protocol

The COR and LC-COR Audit is simultaneous reducing contractor audit fatigue.

Currently the Certifying Partners offering a LC-COR Audit include the Alberta Association for Safety Partnerships (AASP) and Enform, with more Certifying Partners to come.

The process in obtaining a LC-COR Audit is identical to a COR, meaning you adhere to the existing process of working with a Certifying Partner ensuring your health and safety management system meets the Partnership's standard. The LC-COR Audit augments the current health and safety management process assessed by COR by adding criteria to address legislative compliance.

The LC-COR Audit targets high risk activities such as operational standards, competence, training, response plan, responsibilities, emergency equipment, methods of control (engineering, administering, PPE) and other findings relating to specific observations/interviews, methods of delivery/implementation, personnel, moral, interpretation or understanding, etc.

The benefit of a LC-COR Audit is not only the legislative auditing compliance as noted above, in addition, auditors are selected based on their legislative competency, the audit report will include additional findings (without any effect on the COR element scoring), and both the audit and findings will be uploaded in the PICS website management system for contractor and client access.

The LC-COR Audit Integrates Legislative Compliance with COR

The Province of Alberta continues to clarify that the COR is not designed to address legislative compliance. As stated in INFOSHEET 10 as published by Partnerships, the Government of Alberta and Work Safe Alberta (03/12):

“The COR audit is used to evaluate an employer’s health and safety “system.” Though the audit does not assess an employer’s level of compliance with legislation, there is an expectation that COR-holding employers will do their best to meet their health and safety responsibilities under the law.”

As such, the LC-COR Audit protocol has been established that augments the current health and safety management process assessed by COR by adding criteria to address legislative compliance (targeting high risk activities, equipment, chemicals, process, etc.).

Certifying Partners for the LC-COR Audit

Employers interested in earning a COR or LC-COR Audit for their health and safety management system and participating in the Workers’ Compensation Board (WCB) financial incentive program must select and utilize a Certifying Partner.

Each Certifying Partner enters into a formal agreement with the Government of Alberta to provide basic services toward earning a COR. Currently several certifying partners administer the LC-COR Audit protocol, with more joining soon.

Other certifying partner options can be facilitated upon request by contacting one of PICS’ Technical Services representatives who would be happy to assist you.

Audit Report and Risk-Ranked Findings

The auditor reviews the nodes and their associated criteria and examines relevant findings based on risk, regulatory requirements, industry standards and reasonably practical hazard mitigation.

The audit protocol focuses on areas of potential risk (i.e. specific nodes such as equipment, chemicals, high risk activities, PPE, site and personnel).

Audit findings are risk-ranked and populated in the **Audit Report** illustrating each finding including a description of recommendation. This reporting system assists the

employer in identifying risk-ranked activities including managing these risks through to completion.

Auditor Selection and Legislative Competency

Employers depend on auditors to be able to identify the regulatory requirements imposed by legislation and the organization's jurisdiction and operational activities.

The LC-COR Audit selection process for auditors includes a review of the auditor's I-CAB assessment. It is essential that each auditor be competent in their ability to interpret and apply health and safety legislation.

"The International Competency Assessment Board (I-CAB) provides competency assessments for health and safety legislation specific to jurisdiction and industry. The assessments are intended for anyone who supervises, leads audits, and advises activities where health and safety legislation is applicable. Upon completion of an I-CAB competency assessment, an individual can feel confident in their understanding of the health and safety legislation that directly applies to their work, within a specific jurisdiction." - Excerpt taken from www.I-CAB.org - September 1, 2012

Further selection criteria includes that an auditor must be in good standing with all participating certifying partners.

The appropriate selection of an auditor is critical because the audit findings are the basis for continual improvement in an employer's health and safety program and an integral part of establishing program priorities for the following years.



Contact PICS Technical Services to register for an LC-COR Audit

1.855.TECHGRP (832.4477) | TechServices@PICSauditing.com