



2022 Certificate of Recognition (COR) COVID Audit Plan

The 2022 COVID Audit Plan is in effect from January 1 to December 31, 2022.

- On-site data gathering activities by auditors was suspended from January 1 to February 28, 2022.
 - During this period, Alberta implemented a public health measure for mandatory working from home in response to the COVID-19 pandemic.
 - Note internal maintenance auditors were allowed to continue on-site activities, if they were directed by their employer to remain on-site during the pandemic.
- Effective March 1, 2022, the suspension of on-site data gathering by auditors is lifted. Auditors may resume on-site data gathering activities, or continue to work remotely.
 - Alberta lifted the public health measure for mandatory working from home on March 1.
 - Partnerships will continue to monitor the COVID 19 situation, and respond if public health measures are again implemented.
- Prior to conducting on-site data gathering activities, both the auditor and employer must agree that on-site work can be safely conducted.
 - Approval of this decision is not required by the auditor's Certifying Partner (CP).
 - The *Safe Auditing Guidelines for Auditors and Employers for On-Site Activities* must be followed.

Audit Techniques

- Remote interviews are conducted using web-based platforms (Teams, Zoom, WebEx, etc.) or by telephone calls.
 - For some audits, questionnaires can take the place of interviews (as allowed by Partnerships Standard 1.9).
- The use of observations for COR and SECOR audits will remain optional throughout 2022.
 - Auditors may explore the use of remote technology for observations with the approval of their CP.

COR Audits

Certification/Recertification Audit Minimum Requirements

External audits based on documentation and interviews (conducted remotely) are eligible for three-year CORs.

- The minimum requirement for documentation is any six months of system documentation in the previous 12-month period.
- The passing score for certification/recertification is a minimum of 80% based on overall score only. There is no minimum element score requirement.

Maintenance Audit Minimum Requirements

Audits based on documentation and interviews (conducted remotely) by either the employer's internal auditor or an external auditor are eligible to maintain COR.

- The minimum requirement for documentation is any six months of system documentation in the previous 12-month period.
- The passing score for maintenance audits is a minimum of 60% based on overall score only.

Small Employer Certificate of Recognition (SECOR) Audits and Assessments

SECOR Audits - Minimum Requirements

- External SECOR audits based on documentation and interviews (conducted remotely) are eligible for three-year certification or maintenance.
 - The minimum requirement for documentation is any six months of system documentation in the previous 12-month period.
- The current approved SECOR audit instrument is used.
 - Auditors will mark SECOR observation questions as not applicable (N/A).
 - Multiple audit technique questions that require observations are scored based only on the other specified techniques (documentation and/or interviews).
 - SECOR element scores are reported.
 - Note, compared to the COR audit, there are so few SECOR questions that require observations, marking these as N/A does not significantly affect the balance between elements.

SECOR Assessments - Minimum requirements

- SECOR Assessments conducted with the current documentation-based process are eligible for three-year certification or maintenance.
 - The minimum requirement for documentation is any six months of system documentation in the previous 12-month period.

Scoring Requirements for SECOR Audits and Assessments

- The passing score for certification/recertification is a minimum of 80% based on overall score, and no less than 50% in each audit element.
- The passing score for maintenance is a minimum of 60% based on overall score only.

Safe Auditing Guidelines for On-Site Work

Partnerships and the CPs jointly developed the *Safe Auditing Guidelines for Auditors and Employers for On-Site Activities*.

- This document sets the requirements for on-site work (when permitted) for all COR audits, maintenance audit options and auditor qualification audits, including the requirement to follow all applicable public health directives and guidelines.
- The guidelines must be followed by auditors, auditor candidates and employers for any COR on-site data gathering activities.

WCB PIR Refund Eligibility

The WCB confirms PIR refund eligibility for the 2022 COR auditing plan.