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.