



NSNY COR® External Auditor Endorsement Process

TERMS AND DEFINITIONS:

1. NSNY COR® External Auditor:

An individual who has been deemed qualified (endorsed) by Northern Safety Network (NSNY) to carry-out and submit certifying and/or re-certifying COR®/SECOR® external audits for Yukon companies. Once final endorsement has been granted, the auditor will be listed on NSNY website, clearly identifying the contract/relationship with the NSNY.

2. Prospective Auditor:

An individual who has submitted an application, has the outlined requirements to become an endorsed NSNY COR® External Auditor, and has received direction from the NSNY to begin the external auditor endorsement process.

REQUIREMENTS – EXTERNAL AUDITOR ENDOSEMENT

Initial application requirements

All Prospective Auditors must meet the following criteria to apply for the NSNY COR® External Auditor Endorsement Process:

1. hold a recognized health and safety designation;
2. hold valid certifications in all of the required COR® courses or register for and begin completing the courses:
 - Principles of Health & Safety Management
 - Leadership for Safety Excellence
 - Internal Auditor Training (plus student audit)
 - WHMIS Train-the-Trainer OR Basic Instructional Techniques
 - Return to Work Training
3. have demonstrated competency through work experience/education;
4. Have a minimum of three (3-5) years of experience implementing, managing and maintaining health and safety programs; experience will be confirmed through resume and reference checks.
5. be able to apply the knowledge and skills gained through education, experience, specific auditor training and audit experience in the following areas:
 - a. Audit principles and techniques; and
 - b. Experience and working knowledge (in the field) of a Health and Safety Management System.
6. Have written and verbal communication skills suitable for interacting with workplace parties at all levels.
7. Meet any applicable legal and other requirements.

Other Requirements

1. Hold a valid business license
2. Hold valid Workers' Safety & Compensation Board (WSCB) Coverage
3. Agree to obtain, maintain and pay for Comprehensive General Liability Insurance of no less than \$2,000,000 (two million dollars). NSNY also requires that external auditors add NSNY as an additional insured





Documents to include with your application:

- a signed NSNY COR® External Auditor Application of Endorsement form
- current resume of employment history
- a copy of your COR® course certificates or certificate report
- a copy of your safety designation

NSNY COR® EXTERNAL AUDITOR ENDORSEMENT PROCESS

Step 1: Initial application

- The Prospective Auditor must submit a copy of the NSNY COR® External Auditor Application for Endorsement, along with supporting documentation (listed above) to NSNY for review.
- NSNY will review the application package. If approved, the NSNY will contact the applicant to arrange an interview.
- Once the interview has been completed, the applicant will be advised by NSNY whether they have been approved to continue with the endorsement process.

Step 2: completing the audits

I. First Co-audit

The first Co-Audit is an audit performed by a Prospective Auditor and a NSNY COR® External Auditor. To initiate a first Co-Audit, NSNY will assist with arranging for a NSNY COR® External Auditor to co-audit with the prospective auditor. For the first Co-Audit, the NSNY COR® External Auditor will:

- Carry-out a joint audit with the Prospective Auditor;
- Review the audit before it is submitted to NSNY; and
- Evaluate the Prospective Auditor using the COR® Prospective Auditor Evaluation Checklist and submit to the NSNY.

After reviewing all documentation, the NSNY will advise the Prospective Auditor in writing whether to proceed to the second Co-Audit.

II. Second Co-Audit

This is the qualifying audit for NSNY endorsement of external auditors. To initiate the second Co-Audit, NSNY will assist with arranging for an NSNY COR® External Auditor to co-audit with the Prospective Auditor. For the second Co-Audit, the NSNY COR® external auditor will:

- Shadow the Prospective Auditor during the observational tour;
- Review the audit prior to submission to NSNY; and
- Evaluate the Prospective Auditor using the COR® Prospective Auditor Evaluation Checklist





Please note:

Best practice is that second Co-Audit is carried out with a different NSNY COR® External Auditor than the one who the Prospective Auditor performed the first Co-Audit with. It is understood by NSNY that there may be circumstances in which this cannot happen. If this is the case NSNY must approve that the same auditor can be engaged.

If Prospective Auditor activities are deemed not meeting the requirements based on the COR® Prospective Auditor Evaluation Checklist, the Prospective Auditor will be required to carry-out another co-audit. NSNY may require the Prospective Auditor to perform an external audit with NSNY personnel prior to the final recommendation for endorsement.

There may be a cost to the Prospective Auditor associated with engaging a NSNY COR® External Auditor for the first and second Co-Audit. This arrangement will be made between the two (2) parties.

*NSNY reserves the right to engage the Audit Review Committee (ARC) if circumstances or situations arise that go beyond the scope of the established endorsement process.

Step 3: final approval

- I. Upon successful completion of the Co-Audits, a recommendation will be made to the Audit Review Committee (ARC) and the NSNY Board of Directors and final decision to endorse a Prospective Auditor as a new NSNY COR® External Auditor will be made pending approval from NSNY Board of Directors and ARC.
- II. After approval by both ARC and the BOD, the Prospective Auditor will be required to:
 - sign the NSNY COR® External Auditor Agreement and Auditor Code of Ethics
 - provide proof of an active WSCB coverage
 - provide a copy of General Liability Insurance (minimum \$2,000,000), with NSNY as “additional insured”
- III. Once the above documents have been submitted and approved by NSNY, the applicant will receive approval as a NSNY Endorsed COR® External Auditor in writing and will be added to the list of external auditors on NSNY’s website.





Requirement for final approval as a NSNY COR Endorsed External Auditor:

- Sign the NSNY COR® External Auditor Agreement and Auditor Code of Ethics
- Provide proof of valid WSCB coverage
- Provide proof of General Liability Insurance (minimum \$2,000,000), with NSNY as “additional insured”

MAINTAINING NSNY EXTERNAL AUDITOR ENDORSEMENT

To maintain current NSNY External Auditor Endorsement, all auditors must;

- abide by the NSNY COR® External Auditor Agreement and Auditor Code of Ethics;
- complete at least two external audits annually as the primary auditor;
- Ensure that their WSCB account coverage is kept active
- Submit an annual external audit maintenance package which demonstrates:
 - Engagement in 75 hours of professional development and provide proof of annual updates (i.e. newly completed courses, health and safety work for industry, safety meetings and conferences) in the field of Health and Safety Management;
 - A copy of your valid designation(s) and certifications (including COR courses)
 - Annual proof of General Liability Insurance (minimum \$2,000,000), with NSNY as “additional insured
- As the COR® program evolves it may be necessary for external auditors to complete additional requirements.





COR® External Auditor Application for Endorsement

***The applicant shall not proceed with the endorsement process prior to NSNY approval.**

Name:	
Business Name:	
Address:	
Phone #:	Cell #:
Email:	

Requirements (please check all to indicate you have met each requirement and have included proof of each in your application package):

- ☐ I have a combination of education and experience with management and implementation of health and safety programs.
- ☐ I hold a recognized health and safety designation.
- ☐ I hold valid certificates in all COR® courses
- ☐ I have enclosed my resume along with proof of my training and certifications.

Not required (check if applies to you)

- ☐ I hold a current COR® external auditor certification with a Canadian Federation of Construction Safety Association (CFCSA) partner.
- ☐ I have included a copy of my most recent audit for review (if applicable)

Yes, I have read and understand the NSNY COR® External Auditor Endorsement requirements and I would like pursue NSNY COR® External Auditor endorsement:

Signature

Date

Office use only:

Documentation reviewed and accepted: ☐ Yes ☐ No

NSNY COR® Advisor

Date:

NSNY Executive Director

Date:

