**COR Audit Request for Information Form**

This form contains all the employer information an auditor needs to set-up and register a Certificate of Recognition (COR) Audit with the CCSA. This information must be gathered prior to setting up a ***Pre-Audit Meeting.***

\* Gathering this information does not count as the beginning of the 45-day ***Data Gathering*** Step. \*

Company Details

(filled out by Employer)

|  |  |
| --- | --- |
| **Company Name** | **Certificate of Recognition holder? (Y/N)** |
|  |  |
| **Address** | **Certificate of Recognition number (if applicable)** |
|  |  |
| **City** | **Certificate of Recognition expiry date (if applicable)** |
|  |  |
| **Province** | **Main Contact First Name** |
|  |  |
| **Postal Code** | **Main Contact Last Name** |
|  |  |
| **Phone Number** | **Contact Email** |
|  |  |
| **Workers Compensation Board (WCB) Accounts** |
| **Province** | **Account Number** |
|  |  |
| **Industry Code** |
|  |

Audit Details

(filled out by Auditor or Employer)

|  |  |
| --- | --- |
| **Audit Type**(Certification, Maintenance, Baseline, Limited Scope, and/or Qualification) | **First Day on Site** (approximate) |
|  |  |
| **Audit Scope** (Full or Limited) | **Last Day on Site** (approximate) |
|  |  |
| **Operations Audited** (All, Site specific, Targeted) | **Audit Submission Date** (approximate) |
|  |  |
| **Organizations Audited** (single company or joint operations) | **Team audit?** (Y/N) |
|  |  |

Scope – Site Sampling Breakdown

|  |
| --- |
| **Site #1 Information** |
| Site Name | Head office? | Province | Description of Operations | Last Audited Year |
|  |  |  |  |  |
|  | **Employee Number Breakdown:** |
| **Department** | Sr. Managers | Managers | Supervisors | Full time workers | Part time workers | Casual workers | Contract workers |
| Administration |  |  |  |  |  |  |  |
| Food Services |  |  |  |  |  |  |  |
| Housekeeping |  |  |  |  |  |  |  |
| Laundry |  |  |  |  |  |  |  |
| Maintenance |  |  |  |  |  |  |  |
| Recreation |  |  |  |  |  |  |  |
| Resident Care |  |  |  |  |  |  |  |
| Other |  |  |  |  |  |  |  |
| Total: |  |  |  |  |  |  |  |

|  |
| --- |
| **Site #2 Information** |
| Site Name | Head office? | Province | Description of Operations | Last Audited Year |
|  |  |  |  |  |
| **Employee Number Breakdown:** |
| **Department** | Sr. Managers | Managers | Supervisors | Full time workers | Part time workers | Casual workers | Contract workers |
| Administration |  |  |  |  |  |  |  |
| Food Services |  |  |  |  |  |  |  |
| Housekeeping |  |  |  |  |  |  |  |
| Laundry |  |  |  |  |  |  |  |
| Maintenance |  |  |  |  |  |  |  |
| Recreation |  |  |  |  |  |  |  |
| Resident Care |  |  |  |  |  |  |  |
| Other |  |  |  |  |  |  |  |
| Total: |  |  |  |  |  |  |  |

|  |
| --- |
| **Site #3 Information** |
| Site Name | Head office? | Province | Description of Operations | Last Audited Year |
|  |  |  |  |  |
| **Employee Number Breakdown:** |
| **Department** | Sr. Managers | Managers | Supervisors | Full time workers | Part time workers | Casual workers | Contract workers |
| Administration |  |  |  |  |  |  |  |
| Food Services |  |  |  |  |  |  |  |
| Housekeeping |  |  |  |  |  |  |  |
| Laundry |  |  |  |  |  |  |  |
| Maintenance |  |  |  |  |  |  |  |
| Recreation |  |  |  |  |  |  |  |
| Resident Care |  |  |  |  |  |  |  |
| Other |  |  |  |  |  |  |  |
| Total: |  |  |  |  |  |  |  |

|  |
| --- |
| **Site #4 Information** |
| Site Name | Head office? | Province | Description of Operations | Last Audited Year |
|  |  |  |  |  |
| **Employee Number Breakdown:** |
| **Department** | Sr. Managers | Managers | Supervisors | Full time workers | Part time workers | Casual workers | Contract workers |
| Administration |  |  |  |  |  |  |  |
| Food Services |  |  |  |  |  |  |  |
| Housekeeping |  |  |  |  |  |  |  |
| Laundry |  |  |  |  |  |  |  |
| Maintenance |  |  |  |  |  |  |  |
| Recreation |  |  |  |  |  |  |  |
| Resident Care |  |  |  |  |  |  |  |
| Other |  |  |  |  |  |  |  |
| Total: |  |  |  |  |  |  |  |

|  |
| --- |
| **Site #5 Information** |
| Site name | Head office? | Province | Description of Operations | Last Audited Year |
|  |  |  |  |  |
| **Employee Number Breakdown:** |
| **Department** | Sr. Managers | Managers | Supervisors | Full time workers | Part time workers | Casual workers | Contract workers |
| Administration |  |  |  |  |  |  |  |
| Food Services |  |  |  |  |  |  |  |
| Housekeeping |  |  |  |  |  |  |  |
| Laundry |  |  |  |  |  |  |  |
| Maintenance |  |  |  |  |  |  |  |
| Recreation |  |  |  |  |  |  |  |
| Resident Care |  |  |  |  |  |  |  |
| Other |  |  |  |  |  |  |  |
| Total: |  |  |  |  |  |  |  |

## Criteria for Determining Representative Interview Sampling

The interview sample contained within the audit scope must be representative of both the size and the complexity of the organization being audited. All business units and levels of the organization must be reflected in the sample. **Depending on the nature of the operation, sample sizes above the suggested minimums may be required.**

To be “representative” the interview sample must consider all of the following variables:
• **Number of years employees have been with the company** – include a cross-section of everyone from new hires to experienced personnel.
• **Department** – include personnel from all departments.
• **Levels of Personnel** – include a cross-section of personnel from every staffing level, management to workers, including part-time and casual. When the audit scope encompasses more than one work site, include a sampling of personnel from each work site included in the scope of the audit.
• **Shifts** – include a sampling of employees from all shifts.
• **Company History** – if the company has recently undergone reorganization or other restructuring, include personnel from both the “old” and the “new” parts of the company.
• **WCB Account/Industry Codes** – when the scope of the audit encompasses more than one WCB account and/or industry code, include a sampling of personnel from all WCB industry codes.
• **Sites** – The number of sites included in the audit must be representative of the overall company operations (see Criteria for Determining Representative Site Sampling). Interview sampling is always based on total employee numbers, not the total number of employees working at the sites included in the current year’s audit.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Total Staff** | **Minimum Interviews** |  | **Total Staff** | **Minimum Interviews** |  | **Total Staff** | **Minimum Interviews** |
| <5 | all |  | 234-240 | 35 |  | 560 | 66 |
| 5 | 4 |  | 241-249 | 36 |  | 561-570 | 67 |
| 6-7 | 5 |  | 250-299 | 37 |  | 571-580 | 68 |
| 8 | 6 |  | 300-302 | 38 |  | 581-595 | 69 |
| 9 | 7 |  | 303-309 | 39 |  | 596-605 | 70 |
| 10-11 | 8 |  | 310-312 | 40 |  | 606-615 | 71 |
| 12-14 | 9 |  | 313-315 | 41 |  | 616-625 | 72 |
| 15-16 | 10 |  | 316-320 | 42 |  | 626-638 | 73 |
| 17 | 11 |  | 321-325 | 43 |  | 639-645 | 74 |
| 18-20 | 12 |  | 326-329 | 44 |  | 646-655 | 75 |
| 21-24 | 13 |  | 330-332 | 45 |  | 656-665 | 76 |
| 25-27 | 14 |  | 333-335 | 46 |  | 666-678 | 77 |
| 28-30 | 15 |  | 336-338 | 47 |  | 679-689 | 78 |
| 31-36 | 16 |  | 339-341 | 48 |  | 690-699 | 79 |
| 37-44 | 17 |  | 342-348 | 49 |  | 700-705 | 80 |
| 45-49 | 18 |  | 349-354 | 50 |  | 706-719 | 81 |
| 50-64 | 19 |  | 355-359 | 51 |  | 720-729 | 82 |
| 65-74 | 20 |  | 360-364 | 52 |  | 730-740 | 83 |
| 75-88 | 21 |  | 365-369 | 53 |  | 741-749 | 84 |
| 89-99 | 22 |  | 370-374 | 54 |  | 750-790 | 85 |
| 100-120 | 23 |  | 375-379 | 55 |  | 791-840 | 86 |
| 121-149 | 24 |  | 380-389 | 56 |  | 841-959 | 87 |
| 150-199 | 25 |  | 390-399 | 57 |  | 960-1000 | 88 |
| 200-204 | 26 |  | 400-475 | 58 |  | 1001-1499 | 89 |
| 205-209 | 27 |  | 476-499 | 59 |  | 1500-1800 | 90 |
| 210-212 | 28 |  | 500-510 | 60 |  | 1801-2500 | 91 |
| 213-214 | 29 |  | 511-519 | 61 |  | 2501-4000 | 92 |
| 215-220 | 30 |  | 520-529 | 62 |  | 4001-4999 | 93 |
| 221-222 | 31 |  | 530-539 | 63 |  | 5000-9999 | 94 |
| 223-226 | 32 |  | 540-549 | 64 |  | 10000-24999 | 95 |
| 227-230 | 33 |  | 550-559 | 65 |  | 25000+ | 96 |
| 231-233 | 34 |  |  |  |  |  |  |

## Criteria for Determining Representative Work Site Sampling

Work sites included in the audit must be representative of the overall company operations. To determine what work sites to include in the scope of an audit, the following criteria must be used:
• Where multiple accounts/industry codes are being included in the scope of the audit, activities under all
 applicable accounts and industries must be represented in the site sampling.
• The main office or equivalent must be included in the scope of every audit (certification/recertification &
 maintenance years). If two main offices exist, alternate site visits from one main site to the next on a
 rotating basis.
• The number of work sites included in the scope of the audit must also meet established minimums. If
 the scope of the audit includes:
 o 2 sites – all sites must be visited.
 o 3-4 sites – at least 2 sites must be visited.
 o 5-8 sites – at least 3 sites must be visited.
 o 9-30 sites – a third of the sites must be visited *(calculations must be* ***rounded up*** *to the nearest whole
 number).*
 o Vehicles and mobile equipment are considered work sites and should be included in the audit if
 possible. They are not counted towards the minimum sites required. Observations must take into
 account the different types of vehicles and mobile equipment in use. Details must be documented in
 the audit report.

• Where an employer’s operation is composed of 3-30 fixed sites, all sites must be included in an audit at some point during the 3-year audit cycle.
• If an employer’s audit scope is larger than 30 sites, the auditor must consult their CP to determine representative sampling for the audit.
• An employer with **3 or more sites** cannot use the same combination of sites for COR recertification that were used as the scope of the audit conducted for the last certification.

**The numbers above are suggested minimum guidelines. It is important to ensure the above noted criteria is met, which may result in additional site sampling.**