



COR Connections | February 2025

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Audit Tip of the Month

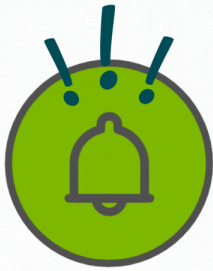
Tip # 1: Ensure auditor notes include quantification. (Partnerships Standard 1.15.1.6).

Include quantification (e.g. 8/12) to support the note for each validation technique: documentation and observation (e.g. cascade questions, policy or question criteria, # of documents reviewed etc.).

Tip #2: Ensure auditor note justifies the score provided. (Partnerships Standard 1.15.1.2)

Justification note and quantification should represent/explain the percentage (%) of positive indicators.

REMINDER: For electronic audit tools, where the positive responses for interview questions are calculated by the tool, additional quantification in the auditor note is



not required. Auditors should assess, on a case-by-case basis, if an added cohort breakdown brings value to the employer to support specific suggestions for improvement and, if so, include a cohort breakdown of the positive response rate.

Don't forget! Quantification is always needed for documentation and observation questions.

**Example Justification Note 1
(Documentation):**

Audit Question 1.5 - Have specific health and safety responsibilities been written for all levels? *Score awarded: 75% and 8/10 points.*

Auditor reviewed job descriptions for the 4 applicable employee levels and determined that 3/4 levels had responsibilities written. Supervisors did not have written responsibilities.

- Examples of H&S responsibilities included:
[Examples of Senior Manager responsibilities], [examples of Manager responsibilities], [examples of Worker responsibilities].

**Example Justification Note 2
(Documentation):**

Audit Question 3.8 - Is there a process in place for preventative maintenance of equipment, vehicles, facilities, and tools? *Score awarded: 100% and 10/10 points.*

The PM policy PM-01-2023 outlines a preventative maintenance process and schedule at the audited sites for the following vehicles, equipment, facilities, and tools: (X, Y, Z).

X frequency is monthly. Y frequency is daily. Z frequency is annually. 1/1 document reviewed and positive indicator met.

Example Justification Note 3 (Observations):

Audit Question 7.7 - Have deficiencies identified through formal inspections been corrected? *Score Awarded: 75% and 19/25 points.*

Auditor sampled 7 inspection records at Site 1, and 7 inspection records at Site 2. 3 deficiencies were listed between the 14 inspection records (2 deficiencies at site 1 and 1 deficiency at site 2).

As part of an observation tour at Site 1, the auditor observed that 1/2, or 50%, of deficiencies had been corrected. For example, a nursing station inspection on [DATE] noted that the medication cart locking mechanism was not working. Auditor observed that the lock was now in working condition and also observed two RNs using the fixed locking mechanism while gathering medication. As another example, a storage area inspection on [DATE] noted that the area was cluttered with boxes with access to the door being mostly blocked. The auditor observed that this storage area still had access to the door mostly blocked with boxes, therefore this deficiency was not corrected.

As part of an observation tour at Site 2, the auditor found that 1/1, or 100%, of deficiencies had been corrected. For example, a kitchen inspection on [DATE] noted that the mixer was not working correctly as it kept stalling and shutting off. The auditor observed that the mixer had been locked out and the item was moved to the storage area for repairs.



- **IMPORTANT:** The AuditSoft tool will combine the positive indicators/score for Sites 1 and 2 and the percentage & points awarded will be an average of the 2 sites. i.e., 1/2 = 50% positive indicators and 1/1 = 100% positive indicators for a total score of 75% and 19/25 points.
- **NOTE: Remember to include an example(s) of any deficiencies that have not been corrected.**

COR Audits by the Numbers

The CCSA COR Team is finalizing Quality Assurance Reviews on audits from 2024, with **52 completed audits and 2 outstanding** (which we anticipate will be completed soon). Stay tuned for an upcoming comparison between 2023 and 2024!



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