

2.12 Corrective Action Report in Lieu of Maintenance Audit

Employers who have held a valid COR (or who have been involved in a recognized health and safety audit process) for at least 4 or more consecutive years have the option of *maintaining* their COR by using the Corrective Action Report (CAR) process instead of completing an internal maintenance audit.

The CAR process applies to maintenance years only. To be eligible employers must,

1. have 11 or more employees
2. hold a regular COR in good standing (not a SECOR, MECOR)
3. have participated in the Partnerships/PIR Program or other acceptable measurement system for a minimum of 4 years
4. have achieved 90% or better on their last external audit
5. if in their second maintenance year, have achieved a minimum of 80% on their last CAR.

The CAR process must be completed by an AFPA Certified Auditor in good standing who has completed training in the CAR process prior to using it.

PASE Participants are not eligible to use the CAR process.

Employer Responsibilities:

1. Notify the Certifying Partner **before** proceeding with the CAR Process (this is *required*).
2. Use an Alberta Forest Products Association Certified Auditor to complete the checklist document provided by the AFPA. The process is usually undertaken by a certified internal auditor, but can be done by an external consultant auditor provided that senior management is heavily involved in the process.
3. Ensure the Corrective Action Report is completed, signed off, and submitted within 2 weeks of data collection. The documentation submitted must also include the action plan from the employer's last re-certification (external) audit, or the CAR document from the previous year.
4. Senior Management must be included in the application process, and must sign off on the final report.

Auditor Responsibilities

1. Ensure the senior person on site approves of proceeding with the CAR Process, has notified the AFPA of their intent to use CAR, and is willing to be involved in and sign off on the process.
2. Complete the CAR training before proceeding with the CAR process.
3. Gather results through observation (O) and document review (D).
Interviews and/or the interview questionnaire can be used at the auditor's discretion. No interviews are required to complete the CAR process. If interviews are used, no minimum sampling is required.
4. For each question in the CAR document, note the source (D/O) for each question.
5. Provide notes to justify **any** questions marked "not applicable," or any question marked as "below standard."
6. Enter the resulting *suggestions for improvement into the Corrective Action Report (CAR) template.
7. Use the template to identify
 - the suggestions for improvement
 - the person(s) responsible for follow up
 - resources required
 - action taken, and
 - both start and completion dates for each action item
8. For **all** questions marked as "below standard," enter a corresponding suggestion in the Corrective Action Report.
9. Submit the CAR and the scoring checklist to the AFPA for review within **2 weeks** of the last day of data collection, along with the action plan from the last external audit, or the CAR from the previous year.
Note that the CAR Template cannot be blank. There must be action items listed.

Certifying Partner Responsibilities

1. Provide CAR training opportunities.
2. Ensure that the employer meets the eligibility requirements.
3. Provide quality assurance on the CAR deliverables, and ensure they are completed according to the guidelines, and submitted within 2 weeks of data collection

* Suggestions for Improvement included in the Corrective Action Report can come from this internal evaluation, **or** from the most recent external audit.