



Alberta Motor  
Transport Association

## Certified Auditor Program

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## Introduction

This document identifies the approved professional development pathway for certified auditors with the Alberta Motor Transport Association (AMTA). The association, working in collaboration with industry partners and peers, values the role of auditors and views their contributions as critical to safety performance within the province of Alberta. We have sought to build on previous work and implement standards consistent with the requirements of our certifying bodies, association guidelines, and desired outcomes.

## Value Statement

The AMTA's certified auditor program has been designed to ensure that all auditors, employee and consultant alike, receive a high level of training, support, and ongoing performance management. This allows employers to rest assured that their auditor can;

- Demonstrate an understanding of the transportation industry,
- Communicate the value, processes, and requirements of the specific program,
- Provide meaningful recommendations for improvement, and
- Consistently achieve a higher level of performance and quality in their auditing.

## Needs Summary

Safety and compliance are areas of key importance for the AMTA. Going beyond our relationship with government, the industry has clearly indicated a desire for improved training and oversight of auditors. The AMTA takes this need to heart and has identified a compelling case for the creation of a Certified Professional Auditor pathway which would provide universally relevant education alongside program specific education.

Due to the many standards and responsibilities that the AMTA must adhere to in order to maintain our Certifying Partner status, the association is looking to implement a Quality Management System which would permit the consistent oversight of all audit program

## AMTA's Strategic Advantage

The AMTA possesses industry support through effective and purposeful alignment with values. We are capable of connecting a large number of carriers to an effective training program through our current outreach initiatives and various subcommittees. As a not-for-profit safety association, the AMTA also benefits from an inherent trust contract with industry and the public.

## Why a certification?

The AMTA's Auditor Certification pathway takes qualified auditors through highly structured and consistent training designed to support specific outcomes that reflect the critical skills and competencies you would expect from a professional.

## How does the certification process work?

Individuals seeking certification as an AMTA Auditor are required to enter the desired program following the below steps. This stage of the certification results in a Certified Internal Auditor and does not permit the individual to complete external Consultant Audits. To progress the certification to this level, the auditor must be able to demonstrate enough experience at a minimum level of competency and complete the AMTA's 1-day Consultant Auditor Course.

### The Steps

- A. Complete Health and Safety Systems Building and Fundamentals of Auditing  
HSSB and the Fundamentals of Auditing course provide the necessary foundation from which to build an auditing certification. Students achieve a working level of competency regarding the design and implementation of safety systems and the necessary knowledge and skills required to support further training in specialized programs.
- B. Complete the Program Elective  
Program specific courses refer to curriculum designed to support the auditor's role in a specialized field such as Certificate of Recognition or a Regulatory Compliance Assessment. These courses instruct the student on program policies, standards, and processes while providing them training in how to apply fundamental skills and knowledge towards specialized instruments.
- C. Receive the Certification  
Once an auditor has completed the program specific training, they are ready to prepare their employers relevant managements systems and complete internal audits within the scope of their certification.
- D. Maintaining the Certification (Internal Auditors)  
All auditors are required to recertify within their program once every three (3) years. In the two years between recertifications, auditors are required to complete a minimum of one (1) maintenance audit and two (2) days of professional development training each year.
- E. Maintaining the Certification (Consultant Auditors)  
Consultant Auditors are required to recertify in both the program specific training and the Consultant Auditor Course every three (3) years. In the two years between recertifications the Consultant Auditor is required to participate in a one-day professional development workshop held by the AMTA.  
Finally, Consultant Auditors are required to complete a minimum of 4 audits per year while maintaining an average first-submission QA score of 75% or higher.

## Professional Profile and Pre-Requisites

### Internal Auditor Candidates

- Experience
  - Full-time (non-contract) employee of the business, or
  - A Contract-Employee whose primary source of employment is the business, and where the individual has completed training in Health and Safety System Building (HSSB), or is registering to complete this training, or
  - Has completed training in a recognized and approved course with confirmed equivalency from the AMTA.
- Baseline knowledge
  - There is no pre-requisite baseline knowledge required to register into, and complete training in the Health and Safety System Building course.
  - Applicant Auditors are required to complete the necessary courses in sequence to qualify for the Internal Auditor certification.
- Demonstrated Ability
  - Upon completion of the AMTA's program elective, the Applicant Auditor is required to submit a student audit within 3 months prior to achieving an Internal Auditor Certificate.

An AMTA Certified Internal Auditor is an employee of the COR certified employer. Their understanding of the employer's health and safety management systems provide unique insights not necessarily shared by a Consultant Auditor. This is a significant advantage to the auditor but must be handled with care.

It is the Internal Auditors responsibility to:

- Systematically examine the elements of the safety management system for the purpose of identifying where there are strengths and where there are opportunities for improvements.
- Advise your employer if you observe unsafe work practices or behaviour while conducting audit activities.
- Demonstrate sound judgement and character when evaluating system components which have been designed, implemented, or maintained by the Internal Auditor, ensuring bias is minimized accordingly.

## Consultant Auditor Candidates

- Experience
  - 5 years of cumulative experience in an Occupational Health and Safety role within the previous 7 years, or
  - 5 years of cumulative experience in a Carrier Compliance within the previous 7 years, with
  - The most recent 3 years of experience operating at a Professional level (see def)
  - Completion of 4 audits, in the capacity of lead or sole auditor, prior to application for a Consultant level of certification.
  - No Criminal Code Convictions.
  
- Quality Assurance History
  - Auditors with experience gained at another certifying organization are subject to reference checks with those organizations prior to being approved for the Consultant Auditor certification and at any time thereafter.
  
- Professional Education and Designation
  - Currently hold an Internal Auditor Certification from the AMTA, and
  - Completed a recognized Occupational Health and Safety Certificate or Diploma, or
  - Currently hold the Certified Transportation Safety Professional (CTSP) designation with, or
  - Registered in, and actively working towards completion of the CTSP with the mandatory courses completed
  - Consideration will be provided for Certified Health and Safety Management System Auditor (CHSMSA) designation holders.
  
- Membership and Insurance
  - Required to purchase and maintain an Associate Supplier membership with the AMTA.
  - Required to purchase and maintain coverage of no less than \$1,000,000 in Professional Liability Insurance.

In recognizing the unique work scope and influence of a Consultant Auditor, the AMTA has identified the desired education and designation profile that would support employers in the field of Transportation. While other designations do exist (eg. Canadian Registered Safety Professional), it is the underpinning education and achievements of those designations that will count towards the pre-requisites listed above.

## How is Experience Being Measured?

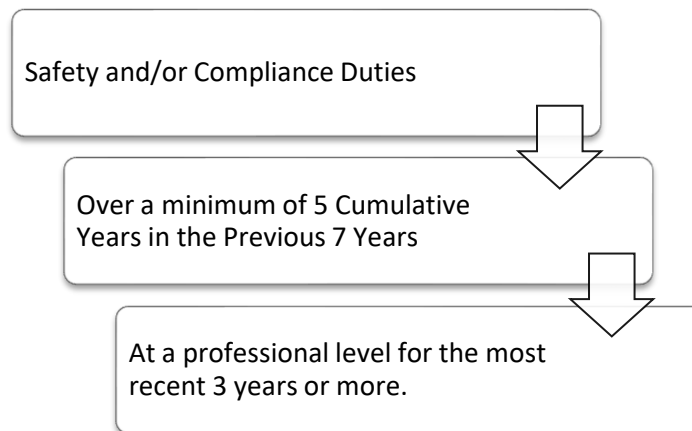
Successful registration in the Auditor Certification program requires that the candidate possess a satisfactory initial level of experience. Failing to meet the experience requirements will not stand in the way of an individual taking the component courses, however students will not be eligible for the Auditor Certification on the merits of those courses alone.

The Association recognizes that professional experience is something that can be difficult to measure without some form of “test” to apply to the information being provided. It can be tempting to open the designation up to any who would wish to participate, however that would defeat the purpose of the designation as a tool for establishing a consistent level of knowledge and skills within the field. The goal of this program, a goal which has been reaffirmed time and time again by our stakeholders, is to produce a bar that all safety practitioners within the transportation industry in Alberta, should be required to meet.

Operating as a professional requires an elevated ability to communicate with others, evaluate needs in accordance with operational variables, and execute on plans to achieve safety and compliance in the transportation industry.

Specific criteria have been developed to define what is meant by “safety experience” and “carrier compliance experience”, as well as what is defined as “professional level”.

There are three aspects to the Consultant Auditor experience requirement. Experience must be (1) in the safety or compliance field, (2) at an appropriate level, (3) within a prescribed period of time.



An individual’s experience is often difficult to measure and must account for differences in organization culture, worker duties, and overall management system complexity. One organizations management system might require an individual to function in a very specific scope or capacity while others will require a much broader scope. The AMTA values the importance of the Auditors professional experience and requires that a minimum of 51% of the individual’s duties fall within the below definitions.

The AMTA considers the following to be relevant experience in the fields of Safety and Carrier Compliance.

## Safety

- Planning and leading work site OHS meetings.
- Communicating OHS requirements to relevant parties, developing understanding and awareness of legislated rights, obligations, and expectations.
- Utilizing procedures and standards to establish conformance to OHS requirements.
- Receiving, responding to, and investigating cause of near-misses and incidents, and working with stakeholders to determine relevant corrective actions.
- Developing action plans and/or accountability systems related to OHS functions for use by others.
- Conducting training, and evaluating knowledge related to OHS matters.
- Coordinating in, or assisting in the coordination of OHS inspections, audits, and/or reviews.
- Conducting, coordinating, or participating as a subject matter expert in the development of organizational policies, standards, and systems supporting OHS outcomes.
- Providing technical knowledge in the matters of OHS.

## Compliance

- Conducting training in matters of carrier compliance, such as Hours of Service, Cargo Securement, Weights and Dimensions, as well as Trip Inspection.
- Maintaining of records related to Professional Drivers of Powered Mobile Equipment.
- Assessing compliance with regulated requirements associated with the operations of the business.
- Developing action plans and/or accountability systems related to carrier compliance functions for use by others.
- Conducting, coordinating, or participating as a subject matter expert in the development of organizational policies, standards, and systems supporting carrier compliance outcomes.
- Executing management system components specific to ensuring a carrier's compliance to traffic safety legislation and other standards or best practices.

In reference to operating at a Professional Level of experience, the following must be considered.

- ✓ Independence of actions.
  - Relates to the amount of planning, decision making, and autonomy of involvement in work experience.
- ✓ Depth of work requirements
  - Relates to the extent to which work experience requires information analysis and interpretation of relevant information.
- ✓ Level of interaction
  - Relates to the degree to which the individual interacts with a broad spectrum of contacts, including decision makers within their organization
- ✓ Responsibility of work outcome
  - *Relates to the level of accountability for work and decisions made.*



## Auditor Competencies

Coursework undertaken by auditors at any level will be designed to support the following competencies:

| Competency                            | Critical Task   |
|---------------------------------------|---|
| <b>Audit, Assurance, and Advisory</b> | <p>Advises on and communicates effectively the role and scope of audit, assurance and advisory engagements to relevant stakeholders.</p> <p>Applies regulatory, legal, professional and ethical standards relating to advisory, audit, and assurance engagements</p> <p>Plans and prepared for audit, assurance and advisory engagements</p> <p>Performs effective audit and assurance engagements</p> <p>Reviews and reports on the findings of audit and assurance engagements</p> <p>Guides efficient and effective operations</p> |
| <b>Governance, Risk and Control</b>   | <p>Evaluates organizational structures and governance to protect the long-term interest of stakeholders</p> <p>Recommends appropriate strategies to ensure adherence to governance structures and application of best practice internal controls</p> <p>Identifies and manages risk accordingly</p> <p>Uses risk management for the best interests of an organization and its stakeholders</p> <p>Monitors and applies relevant legislation, policies and procedures</p>  |
| <b>Leadership and Management</b>      | <p>Applies appropriate leadership strategies to effectively delivery business objectives</p> <p>Leads, motivates and manages others to optimize performance and effectiveness</p> <p>Collaborates, supports and works to achieve the objectives of the organization harnessing appropriate resources</p> <p>Acts proactively and thinks strategically, in anticipating organization’s needs, recognizing the wider business environment and dynamics.</p>   |
| <b>Ethics and Professionalism</b>     | <p>Develops advanced ethical values and professional skills in the promotion of public interests and the profession</p> <p>Demonstrates personal effectiveness in fast changing environments</p> <p>Encourages innovative thinking within the context of professional skepticism</p> <p>Thinks proactively about the future, applying professional judgement and commercial intelligence and seeks specialist input when needed</p> <p>Communicates effectively and influences others.</p>  |

## Coursework

Using the information and tools provided, the AMTA identified mandatory courses that provide students with the knowledge and skills required to successfully complete the critical tasks associated with their roles.

These mandatory courses, when completed together, provide detailed instruction in all of the critical tasks identified throughout the competency mapping process. The AMTA is prepared to provide equivalencies and advance standing based on an equivalency mapping process created for each course and based on the specific curriculum. This is a standard practice among education institutions and is designed to ensure alignment with the learning outcomes deemed critical to the success of the student.

### **Mandatory** *(to be taken in order)*

- Health and Safety System Building
- Fundamentals of Auditing

### **Elective**

- COR Auditor (program elective)
- ARC Auditor (program elective)
- Consultant Auditor

All coursework relating to the program elective and the auditor's role within that program must be completed prior to certification being provided.

Records pertaining to auditor registration, training, and ongoing certification maintenance will be held by the AMTA for the duration of the certifying relationship and maintained for no less than 7 years following conclusion of services.

## Auditor Performance Management and Discipline

The AMTA administers all Designations and Certifications through its Professional Development program within the Funded Health and Safety Associations operational umbrella. Administration can be contacted by email at [training@amta.ca](mailto:training@amta.ca).

### Key Performance Indicators

- First Submission QA Score
- Completed Audits

### Benchmarks

- First Submission QA (1QA) score 75% or greater
- Number of qualifying audits completed over applicable time period
- Auditor Response Time within prescribed timelines

### Monitoring Performance

- QA Reviewers will complete the AMTA’s QA tracking form for each audit review. The tracking form will total scores and be associated with the auditor(s) and employer being audited.
- The Quality Assurance Supervisor will complete a monthly report on Consultant Auditor performance and submit results to the Director.

### Variances

- Variances from 1QA benchmarks are resolved as follows:

| Level     | Internal Auditors  | Consultant Auditors<br>(Resolution Offered Once Only)  |
|-----------|--|--|
| <51%      | No further audits permitted until recertification complete                                   | No further audits permitted until recertification complete.                                  |
| 51% - 74% | No further audits permitted to be registered until performance management plan is completed. | No further audits permitted to be registered until performance management plan is completed. |

- Insufficient number of qualifying audits within applicable time period will result in a 3-month warning of credential cancellation.
- Non-compliance with response time requirements will result in auditor suspension and Ethics Violation.

## Investigating Ethics Claims

Code of Ethics violations can be reported to the AMTA through multiple channels.

1. Anonymous reporting can be provided by telephone or email to the AMTA or Partnerships
  - Violations that are anonymously reported may not be actioned or investigated based on a lack of subsequent follow-up opportunity. A significant violation may result in a CP requested OSAR or be directly investigated as appropriate.
2. Ethics complaints can be provided submitted by letter or email to the AMTA and/or Partnerships.
  - Ethics violations reported to the AMTA or Partnerships in this manner will be investigated immediately by the QA Supervisor and program Director with resolution provided for both the complainant and auditor in a timely manner. To avoid privacy or security concerns, personal information may be withheld from the Auditor's notification and final report.
3. Code of Ethics violations identified within OSAR, CP Audits, or as a part of another investigative process.
  - Ethics violations identified in this manner will have been investigated prior to submission to the AMTA. The association will be responsible to notify the auditor of findings and report on action taken within established timelines.

## Performance Management

- Performance management will be applied based on needs and appropriate to the originating concern. This could include training, re-training, participation in a mentorship audit, or discipline and is the responsibility of the Certifying Partner to determine.

## Discipline

- Auditors found to be in violation of their Code of Ethics and Professional Conduct agreements will be subject to discipline. Outcomes will be proportional to the initiating event and permanent revocation of certifications will be reported to all Certifying Partners.

## Dispute Resolution

- Disputes can be provided in writing to the program Director and AMTA President within 30 days of discipline being assessed.
  - Disputes will be heard, and resolution provided within 30 days of being received.
  - Parties will be provided with documented findings.
  - Disciplinary actions being upheld will not result in new action taken, nor will reversed actions result in discipline being taken on any internal AMTA employee or contractor.

## Maintenance of Auditor Certification

|                           | Certification Year |   |
|---------------------------|--------------------|---|
| <b>Internal Auditor</b>   | 1                  | Complete Fundamentals of Auditing and the program elective                        |
|                           | 2                  | Internal Audit and two-days of professional development                           |
|                           | 3                  | Internal Audit and two-days of professional development                           |
|                           | Recertification    | Complete program elective   |
| <b>Consultant Auditor</b> | 1                  | Complete 4 audits and complete program elective and the Consultant Auditor course |
|                           | 2                  | Complete 4 audits and 1-day professional development workshop                     |
|                           | 3                  | Complete 4 audits and 1-day professional development workshop                     |
|                           | Recertification    | Complete 4 audits and complete program elective and the Consultant Auditor course |

## Instructor Requirements

The AMTA's Auditor Instructors are required to maintain a minimum level of professional experience and education to qualify as an instructor.

### Professional Profile

- 5 years of cumulative experience in an Occupational Health and Safety Auditor role within the previous 7 years,
- 3 years of cumulative instructor experience in the previous 5 years,
- No criminal code convictions

### Educational Experience

- Certification in a Partnerships approved OHS Management System development course (preference provided to candidates with the AMTA's Health and Safety System Building course), and
- Completed a recognized Occupational Health and Safety Certificate or Diploma Program, or
- Currently hold the Certified Transportation Safety Professional (CTSP) designation with, or
- Registered in, and actively working towards completion of the CTSP with the mandatory courses completed
- Consideration will be provided for Certified Health and Safety Management System Auditor (CHSMSA) designation holders.

### Training

Upon initial acceptance as an AMTA Auditor Instructor, candidates are required to completed

- AMTA Fundamentals of Auditing
- AMTA COR Auditor
- AMTA Instructional Design and Delivery
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Training is provided at no cost, or compensation by the and required to complete recertification's at their individual expense.

All instructors will be evaluated by the program senior instructor on an annual basis. This evaluation consists of an in-class observation and confirmation that educational prerequisites are current and valid.