



TEAM AUDIT

Effective Date: 2018 - 12 - 11
Owned by: Juliet Goodwin
Manager, Safety Audits & Certifications

Approval: 
Approved By: Juliet Goodwin
Manager, Safety Audits & Certifications

Valid Until: 2021 - 12 - 11

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SUMMARY OF CHANGES

This Summary shows:

- All changes from last approved and published document
- The location within the document where the changes have been made

Version	Date	Author(s)	Revision Notes
1.0	December 11, 2018	Melissa Mass	This is the first revision of the Team Audit. This revision brings the Procedure template into alignment with the templates used by the Governing Documents Framework.

 Requirements changed in the new revision will be identified with a revision triangle beside it.

SUMMARY OF REVIEWERS

The following people were involved in the review of this Procedure.

Name	Position
Juliet Goodwin	Manager, Safety Audits and Certifications
Justin Degagne	Program Manager, Training
SA&C Team	Subject Matter Experts (SME)

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1.0 ABOUT THIS PROCEDURE

1.1 Purpose and Direction

This procedure defines the circumstances under which audits would be performed by a team of auditors rather than just an individual. All auditors participating in the audit must adhere to the Auditor Code of Ethics. All team audits along with the supplemental sampling plan must be approved by Energy Safety Canada at time of audit registration.¹

1.2 Scope

Team audits are available under the Certificate of Recognition (COR). All team audits will be documented and reported using the most current audit tool.

A team audit may be performed under the following conditions:

- The employer is too large for one auditor to manage on their own (e.g. multiple sites, more than 500 employees)
- To provide an opportunity for multiple certified auditors to participate as a means of maintaining auditor status
- To provide an opportunity for a student auditor to participate in an audit for qualification purposes. Only one student auditor is permitted in a team audit

The level of participation of the auditors in a team audit will be determine by:

- Audit type: certification or maintenance
- Auditor type: certified, student, or corporate

1.3 Target Audience

The target audience for this document is all Energy Safety Canada personnel in any work location. This includes Employers and Auditors.

2.0 SUPPORTING DOCUMENTS

2.1 The following listed documents provide further information for Team Audits.

- SAC-CFT-022 - this form is to document the sampling plans for all team audit members²

3.0 PROCEDURE

3.1 The employer must determine who will assume the lead auditor position for the team audit. If Corporate Auditor(s) are to be used, then an application must be made to Energy Safety Canada for approval. If approval is granted, then the Lead Auditor can start the audit registration process.

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3.2 The Lead Auditor will:

3.2.1 Register the audit as a Team Audit providing the following information;

- Name of lead auditor and credentials
- Name of all other auditors
- Indicate if any auditors are using the audit to maintain their certification
- If applicable, the name of a student auditor and that they are using this for their qualification audit. **NOTE:** Only one Student Auditor is permitted per team
- A completed sampling plan

3.2.2 Gather together the cumulative field notes of all team members in order to confirm scoring and to analyze the audit findings.

3.2.3 Generate an audit report which represents the overall organization within the audit scope.

NOTE: If the Lead Auditor is a Student Auditor they must write and submit the report representing the entirety of the organization audit scope.

If the student auditor is not the Lead, then they must write and submit a separate report for quality assurance review in order to receive auditor certification. This second report may not represent the entire audit scope.

3.3 Energy Safety Canada will:

3.3.1 Review the application to ensure all the information required is present.

- Check credentials for all auditors on team
- Review sampling plan and approve or seek clarification

NOTE: Once the sampling plan is approved, any changes requires a revised sampling plan to be submitted for approval.

3.4 The Lead Auditor will:

- Ensure the data collection portion of the audit is completed within the prescribed time frame
- Ensure the completed audit report is submitted on time to Energy Safety Canada for quality assurance review
- Ensure any student involved submits their completed report on time to Energy Safety Canada for quality assurance review

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3.5 Audit Report Writer

- The report writer is responsible for re-submissions and revisions, unless there are extenuating circumstances that prohibits them from doing this
- Any student audits that do not meet the Energy Safety Canada quality assurance requirements that is also part of an overall team audit could result in the invalidation of the entire team audit

4.0 E-COMPLIANCE TOOL

4.1 The EC Audit Tool (e-Compliance software) is used to document and report all on COR audits. Once all data is collected the team member files must be merged into one document. Before the merge occurs, there are items that must be determined. These items will help save time and confusion for the audit report writer. This information has to do with the “merge process” within the EC Audit Tool.

- Before data is collected for the audit, discussing and determining the following will make report writing easier and faster
 - Ensure everyone has the same base information on the company. Spelling and names of locations and other information must be the identical. If not, once merged, duplication of information could occur
 - Determine and agree how each auditor will record their field notes (e.g. point form vs full sentences, excerpts from policy/procedure vs summarization etc.)

4.2 If all auditors on the team are certified, only one license key is required. Only one audit report is required.

4.3 An additional license key is required, if a student auditor is on the team members. This is because the student auditor must submit their own completed audit report. The merge is completed in the same manner.

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5.0 ROLES AND RESPONSIBILITIES

- Certified External Auditor can perform all audit functions, including lead auditor for certification, and maintenance audits
- Certified Internal Auditor can perform all audit functions, including lead auditor for maintenance audits
- Audit Report Writer responsible for writing and submitting the final audit report
- Student Auditors can only actively participate in maintenance audits. They must take the role of a Lead Auditor for the area they are assigned, as this is their qualifying audit. This could include conducting a kick off and close out meeting, (if this was decided during the pre-audit meeting with the employer)
- Corporate auditors can perform the same audit functions as a Certified Auditor once approved by Energy Safety Canada, prior to audit registration

<p>Lead Auditor</p>	<ul style="list-style-type: none"> • Be clearly identified • Provide a sampling plan for all team members • Participate in the data gathering activities for all three validation methods • Responsible for ensuring all information gathered from all team auditors is recorded in the audit report. This also includes results from any student audits • Responsible for designating a team member for report writing and ensuring the audit report is submitted within the accepted time or alternatively the lead auditor can also be the report writer • Responsible for all audit activities and audit timelines • Responsible for identifying all other team members and their roles. This information must be recorded on the audit reports. The information should note the areas or site(s) the members audited
<p>Team Members</p>	<ul style="list-style-type: none"> • Be assigned areas indicated in the sampling plans. • Complete all tasks as assigned within the designated time frame
<p>Student Auditor</p>	<ul style="list-style-type: none"> • Register the audit as a student audit for the purpose of qualification. • Participate in all levels of audit activities. (pre and post-audit meetings, document review, observations and interviews etc.) • Responsible for writing and submitting an audit report. Failure to submit the audit report could result in the invalidation of the entire team audit
<p>Corporate Auditor</p>	<ul style="list-style-type: none"> • Seek approval by Energy Safety Canada before audit registration

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6.0 REFERENCE DOCUMENTS

¹ SAC-MNL-001 Department Manual

Alberta Government Reference: [1.2 Team Audits](#)

² SAC-SFT-022 Sampling Plan

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