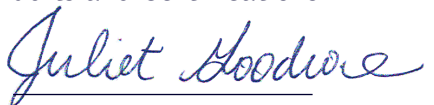




AUDITOR PREREQUISITES

Effective Date: 2019 - 01 - 02

Owned by: Melissa Mass,
Staff Advisor, Safety Audits and Certifications

Approval: 

Approved By: Juliet Goodwin
Manager, Safety Audits & Certifications

Valid Until: 2022 - 01 - 02

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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	October 24, 2018	Melissa Mass	This is the first revision of the Auditor Prerequisites Procedure. This revision brings the Procedure template into alignment with the templates used by the Governing Documents Framework.
1.1	January 2, 2019	Melissa Mass	Section 2.2.4 added additional bullets

 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 describes the prerequisite required for internal and external auditors. These prerequisites must be met prior to an individual applying to become an Energy Safety Canada auditor. The applications must be approved prior to registering into the Certified Health and Safety Auditor Program (CHSAP).¹

1.2 Scope

Energy Safety Canada offers two certifications for health and safety auditors. The first track is for Internal Auditors who are intending to perform internal (maintenance) audits for the company with whom they are full-time employees. An Internal Auditor cannot conduct an audit on behalf of any other company for the purpose of achieving or maintaining a Certificate of Recognition (COR).

Employers should be deliberate and thoughtful when selecting a candidate to become their internal auditor. Companies should consider that the role requires attention to detail, basic understanding of safety principals, a literacy level of at least high school level, and a desire to contribute meaningfully to the employer's Occupational Health and Safety Management system. This is encouraged to be a thoughtful selection process.

The second track is for External Auditors who may be hired by companies to conduct external (certification or re-certification) or maintenance audits. The External Auditor track has additional education and experience-level requirements.

Those considering this career path should consider that a successful candidate will have certain characteristics which will contribute to their ongoing success as a consultant auditor, such as; high literacy level, attention to detail, wide experience of health and safety systems and topics, patience, organizational skills, and approachability to all level of employee.

Prerequisites have been established for both auditor tracks.

1.3 Target Audience

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

2.0 PROCEDURE

2.1 Internal Auditors

The Internal Auditor prerequisite is as follows:

- Being employed on a full-time basis with the company that they will be auditing.

This is verified by the Internal Auditor candidate submitting a Letter of Employment with their application. The letter must verify that the internal auditor candidate is employed full-time by the organization requiring an Internal Auditor.

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2.1.1 The application process for an internal auditor candidate includes:

- Completing the Safety Program Development course and exam or meet the exemption criteria outlined in the Safety Program Development Course Development prior to submitting an application form.²
- Completing the Internal Auditor Application form and submitting it to Energy Safety Canada for review two months prior to their desired CHSAP course date. Once the application is approved, the internal auditor candidate must register for the CHSAP within four months of their approval date. The CHSAP must be completed within one year of approval date.
- Achieving at least 80% on the final exam as outlined in the Certified Health and Safety Auditor Program Development procedure.³
- Reviewing and signing acceptance of Energy Safety Canada's Auditor Agreement.⁴
- Submitting a qualification audit to Energy Safety Canada within six months of completing the CHSAP as outlined in Auditor Certification procedure.⁵ The quality assurance review must achieve at least 80%

2.1.2 In some situations, in order to maintain their auditor status, an internal auditor may conduct a baseline audit of an employer for whom they are not employed. This audit cannot be used for the purpose of achieving or maintaining a COR, however it can be used by an internal auditor to maintain their auditor certification, as described in procedure Auditor Certification.⁶

2.2 External Auditors

The External Auditor prerequisites are as follows:

- A minimum of five years' experience in the past 10 years practicing health and safety in a full-time position as described in 2.2.1
- Must have an approved safety designation or a certificate, diploma or degree from an approved program as described in 2.2.2 to 2.2.3
- Complete either the Common Safety Orientation or Petroleum Safety Training course

2.2.1 The minimum work experience requirements for external auditors are five years as a health and safety professional in the last ten years.

Each job position will be evaluated and in order to be considered the following requirements must be met:

- The position must be full time
- The health and safety function of the position must be greater than 50%
- The position must be at a professional level
 - Must be engaged in the Occupational Health and Safety (OHS) occupation for pay and livelihood. (e.g., a small business owner completing a SECOR self-assessment would not be considered)
- The position's responsibility must be the prevention of harm rather than responding to harmful events
- The position must have a broad scope of OHS responsibilities that includes at least 60% of the following:

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- Incident Investigations and Analysis
- Hazard Identification
- Hazard Assessment
- Hazard Control
- Conducting Inspections (Work site, Equipment, etc.)
- Developing and Review of Policies and Procedures
- Developing and Delivering Health and Safety (H&S) Training
- Delivering H&S Orientations
- Participation in H&S Committee and/or Safety Meetings
- Develop and Review Emergency Response Procedures
- Auditing of H&S Management Systems
- Communicate Safety Initiatives
- Interpretation of OHS Legislation

2.2.2 The safety designations that are considered to meet the minimum educational requirements to become an Energy Safety Canada External Auditor are:

- Canadian Registered Safety Professional (CRSP)
- Certified Safety Professional (CSP)
- Health & Safety Management System Auditor (CHSMSA) designation with a minimum two-year diploma/degree from an eligible accredited college/university program. The eligible programs are described in 2.2.4
- CHSMSA designation and demonstrate practicing health and safety for seven of the past 10 years

Other designations such as National Construction Safety Officer, International Organization for Standardization and Canadian Health and Safety Consultant have not been granted equivalency and will not be considered to have met the minimum educational requirements to become an Energy Safety Canada External Auditor.

2.2.3 Eligible certificate, diploma or degree programs in Occupational Health and Safety must meet the following minimum requirements:

- Be issued from an accredited institution
- Consist of a minimum of 300 hours of classroom instruction and/or self-study
- Cover the core competencies based on the guidelines from the Board of Canadian Registered Safety Professionals (BCRSP).

To assess a program, the external auditor applicant must provide the following information for analysis:

- Proof of Program Completion - Copy of Certificate, Diploma or Degree
- Complete Program Transcripts
- List of Program Courses which includes:
 - Course description
 - Number of hours credited

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International programs can be considered if the external auditor candidate can provide the following information:

- “Description of Course Work” Assessment completed by the International Qualifications Assessment Service (IQAS)
 - <http://employment.alberta.ca/cps/rde/xchg/hre/hs.xsl/4512.html>
 - The cost of the IQAS assessment is the responsibility of the external auditor applicant

2.2.4 Auditors who are reapplying into CHSAP that were either certified or attempted to certify in the past would not be eligible to reapply if any of the following conditions exist:

- Received an infraction in the past through the Energy Safety Canada Auditor Performance Management System resulting in permanent suspension
- Received in the past disciplinary action resulting in an Ethical Infraction under the Energy Safety Canada Auditor Performance Management System
- It has been 2 years or more since the end of the suspension period from the last Ethical Infraction discipline letter



2.2.5 The application process for an external auditor candidate includes:

- Completing and submitting the External Auditor Application form for review two months prior to the desired CHSAP date (with the relevant certificates and documentation, including Professional References)
- Registering for the CHSAP within four months of their approval date. The CHSAP must be completed within one year of approval date
- Achieving at least 80% on the final exam as outlined in Certified Health and Safety Auditor Program Development.⁷
- Reviewing and signing acceptance of Energy Safety Canada’s Auditor Agreement.⁸
- Submitting a qualification audit to Energy Safety Canada within six months of completing the CHSAP as outlined in Auditor Certification.⁹ The quality assurance review score must achieve at least 80%

2.2.6 To transition from an Internal Auditor to an External Auditor the following steps must be completed:


- Complete and submit the External Auditor Application Form with relevant certificates or documentation, including the Professional Reference Forms
- Complete Energy Safety Canada’s Common Safety Orientation (CSO) or Petroleum Safety Training (PST) course

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2.2.7 Energy Safety Canada reserves the right to reject any submitted applications even if all prerequisites are met.

3.0 ROLES & RESPONSIBILITIES FOR PROCEDURE

Energy Safety Canada	<ul style="list-style-type: none"> ○ Define prerequisites for Internal and External Auditors ○ Review submitted applications
 Auditor Candidates	<ul style="list-style-type: none"> ○ Meet the prerequisites required ○ Complete Energy Safety Canada's two-day Safety Program Development Course (if required) ○ This two-day course must be completed before you can register for the 5-day Certified Health and Safety Auditor Program course. ○ Complete and submit the appropriate application form for review two months prior to the desired course date (applications including downloadable Professional Reference Forms are available at www.energysafetycanada.com). ○ Register for the Certified Health and Safety Auditors Program (CHSAP) within four months of the approval date. ○ Complete Energy Safety Canada's 5-day CHSAP within one year of the approval date. You must achieve at least 80% on the final exam. ○ Review and sign acceptance of Energy Safety Canada's Certified Auditor's Agreement. ○ Submit a qualifications audit to Energy Safety Canada within six months of completing the CHSAP. Your quality assurance (QA) review score must achieve at least 80%.¹⁰

4.0 REFERENCE DOCUMENTS

¹ SAC-MNL-001 Department Manual
 Alberta Government Reference: [6.1 Health and Safety Auditor Training](#)
 Alberta Government Reference: [6.2 Health and Safety Auditor Certification](#)
² SAC-PRO-033 Safety Program Development Course
³ SAC-PRO-034 Certified Health and Safety Auditor Program Development
⁴ SAC-CFT-001 Certified Auditors Agreement
⁵ SAC-PRO-035 Auditor Prerequisites
⁶ SAC-PRO-037 Auditor Recertification
⁷ SAC-PRO-034 Certified Health and Safety Auditor Program Development
⁸ SAC-CFT-001 Certified Auditors Agreement
⁹ SAC-PRO-035 Auditor Prerequisites
¹⁰SAC-PRO-036 Auditor Certification

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