



# AUDITOR CERTIFICATION

Effective Date: 2018 - 11 - 21

Owned by: Juliet Goodwin  
Manager, Safety Audits & Certifications

Approval: *Juliet Goodwin*

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Valid Until: 2021 - 11 - 21

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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	November 21, 2018	Melissa Mass	This is the first revision of the Auditor Certification Procedure. 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 describes the process for an auditor candidate to receive Auditor Certification. While completing a qualification audit for purposes of certifying, the auditor candidate is referred to as a Student Auditor.<sup>1</sup>

### 1.2 Scope

Auditor candidates must successfully complete both the Safety Program Development course or qualify for exemption and the Certified Health and Safety Auditor Program (CHSAP) and exam before becoming eligible to attempt a qualification audit. The qualification audit demonstrates whether candidates have achieved the required competencies to function as a certified Health and Safety Auditor. Auditor certification is valid for a three-year period.<sup>2</sup>

### 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 Auditor candidates must meet the following requirements to be considered for certification:

2.1.1 Successful completion of the CHSAP and exam.

2.1.2 Successful completion of a qualification audit. The qualification audit must meet all the requirements for audit quality assurance and required timelines.<sup>3</sup>

2.2 Qualification audits may be used for COR maintenance requirements if the audit successfully meets all audit quality assurance standards.

2.2.1 External auditor candidates can perform maintenance audits for employers other than their own for qualification purposes.

2.2.2 External and internal auditor candidates can perform baseline audits for qualification audits if the candidate's competency can be demonstrated as outlines in 2.4.1 through 2.4.3.

2.3 Qualification audits cannot be used for COR certification or recertification.

2.4 Auditor candidates can perform qualification audit(s) through the participation in a Team Audit, however specific criteria must be met to demonstrate each candidate's competency.<sup>4</sup>

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- 2.4.1 Each candidate must carry out all steps of the audit to demonstrate competency
  - 2.4.2 Each candidate must independently score and complete the audit document
  - 2.4.3 Each candidate must independently make recommendations and write their own report
- 2.5** If a candidate's qualification audit report has major deficiencies, or if the audit is not completed and received by Energy Safety Canada within six months of successful completion of the CHSAP, the candidate must repeat the course, successfully rewrite the auditor exam, and submit a new qualification audit.
- 2.5.1 Major deficiencies include audit reports that:<sup>5</sup>
    - do not meet quality assurance (QA) standards,
    - have not scored 100% in the QA on all critical items, and at least 80% overall by the second resubmission
- 2.6** Energy Safety Canada will maintain a list of qualified auditors and will update this list as required. External auditor may opt into a public list maintained by Energy Safety Canada.
- 2.7** Certified auditors must be recertified at least once every three years, as outlined in procedure Auditor Recertification.<sup>6</sup>

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### 3.0 ROLES & RESPONSIBILITIES FOR PROCEDURE

<p>Energy Safety Canada</p>	<ul style="list-style-type: none"> <li>○ Verify that the auditor candidate has successfully completed the CHSAP and exam requirements</li> <li>○ Evaluate candidate skills, ability and competencies to conduct an audit through a review of their qualification audit</li> <li>○ Outline the requirements for a qualification audit within a Team Audit</li> <li>○ Perform quality assurance on a qualification audit and provide the auditor candidate with feedback and final auditor certification if qualified</li> </ul>
<p>Auditor Candidates</p>	<ul style="list-style-type: none"> <li>○ Complete and submit qualification audit.</li> <li>○ Register the audit as a student audit for the purpose of qualification<sup>7</sup></li> <li>○ Participate in all levels of audit activities, including but not limited to; pre and post-audit meeting, document review, observations, interviews, etc.</li> <li>○ Responsible for writing and submitting an audit report for quality assurance. Failure to submit the audit report will result in the need to retake the CHSAP.</li> </ul>

### 4.0 REFERENCE DOCUMENTS

<sup>1</sup> SAC-MNL-001 Department Manual

Alberta Government Reference: [6.2 Auditor Certification](#)

<sup>2</sup> SAC-PRO-033 Safety Program Development Course Development

SAC-PRO-034 Certified Health and Safety Auditor Program Development

<sup>3</sup> SAC-PRO-015 COR Audit Quality Assurance Review

<sup>4</sup> SAC-PRO-027 Team Audit

<sup>5</sup> SAC-PRO-015 COR Audit Quality Assurance Review

<sup>6</sup> SAC-PRO-037 Auditor Recertification

<sup>7</sup> SAC-PRO-016 COR Audit Registration

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