



# AUDIT PROTOCOL: APPROVAL AND REVIEW

Effective Date: 2018 - 12 - 05

Owned by: Juliet Goodwin  
Manager, Safety Audits & Certifications

Approval: 

Approved By: Juliet Goodwin  
Manager, Safety Audits & Certifications

Valid Until: 2020 - 12 - 05

*Sensitivity Level: Public*


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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 05, 2018	Melissa Mass	This is the first revision of the Audit Protocol: Approval and Review 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 defines the process for governing bodies to review and approve Certificate of Recognition (COR) and Small Employer Certificate of Recognition (SECOR) audit instruments developed by Energy Safety Canada.<sup>1</sup>

### 1.2 Scope

Audit instruments used to audit an employer health and safety management system for a COR or SECOR must meet the minimum requirements and be approved by the governing bodies.

The governing bodies will conduct a review of all health and safety audit instruments and quality assurance forms proposed for use by Energy Safety Canada. The review will be conducted to verify that the proposed document(s) meet the requirements of the governing bodies standards.

A copy of approved audit instruments and quality assurance forms will be kept on file by the governing bodies.

### 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 Energy Safety Canada audit instruments and quality assurance forms must be approved by the governing bodies before they can be used for certification, recertification or maintenance of CORs and SECORs.
- 2.2 To be approved for use, audit instruments and quality assurance forms must meet the governing bodies standard for content, scoring proportion, and use of required validation techniques.
- 2.3 Approved audit instruments and quality assurance forms must be re-submitted for approval if any revisions are made to the questions, the guidelines (when required to meet the content criteria), the scoring allotments, or the assigned validation techniques.
- 2.4 Energy Safety Canada must revise their audit instruments and quality assurance forms and resubmit them for approval when there are changes to the governing bodies' audit standard.
- 2.5 Energy Safety Canada conducts an assessment of standards for Alberta, British Columbia and Saskatchewan<sup>1</sup> to ensure the protocol meets the requirements of all governing bodies.

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2.5.1 The approval processes with those governing bodies vary; however, in the end the protocol must meet the requirements of all applicable governing bodies.

2.6 Audit reviewers must use an approved quality assurance form to perform their audit quality reviews.<sup>2</sup>

### 3.0 ROLES & RESPONSIBILITIES FOR PROCEDURE

<p>Energy Safety Canada</p>	<ul style="list-style-type: none"> <li>○ Review the Energy Safety Canada audit instrument and quality assurance forms, when changes occur, to ensure they meet all of the content, scoring proportion and validation techniques requirements before sending them to the governing bodies for approval</li> <li>○ Ensure that audit instruments and quality assurance forms are not used for COR or SECOR purposes until they are approved by the governing bodies</li> <li>○ Communicate any changes that were made to the audit instruments and quality assurance forms to stakeholders</li> </ul>
<p>Governing Bodies</p>	<ul style="list-style-type: none"> <li>○ Set Standards for creating audit instruments and quality assurance forms</li> <li>○ Review submitted Certifying Partner tools and either approve or provide feedback</li> </ul>

### 4.0 REFERENCE DOCUMENTS

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

Alberta Government Reference: [4.1 Approval of Audit Instruments](#)

SAC-CFT-034 Non-Conformance Report (NCR)

SAC-CFT-035 Action Plan Application Form

<sup>2</sup> SAC-CFT-023 COR Audit Quality Assurance (QA) Review Form