



AUDIT SAMPLING

Effective Date: 2018 - 12 - 05

Owned by: Juliet Goodwin
Manager, Safety Audits & Certifications

Approval: *Juliet Goodwin*

Approved By: Juliet Goodwin
Manager, Safety Audits & Certifications

Valid Until: 2020 - 12 - 05

Sensitivity Level: Public


Current approved documents are maintained online. Printed copies are uncontrolled.

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 Sampling 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)

Sensitivity Level: Public

Current approved documents are maintained online. Printed copies are uncontrolled.



CONTENTS

Summary of Changes	2
Summary of Reviewers.....	2
1.0 About this Procedure	4
1.1 Purpose and Direction	4
1.2 Scope.....	4
1.3 Target Audience.....	4
2.0 Procedure	4
3.0 Roles & Responsibilities for Procedure.....	8
4.0 Reference Documents	8

Sensitivity Level: Public

Current approved documents are maintained online. Printed copies are uncontrolled.

1.0 ABOUT THIS PROCEDURE

1.1 Purpose and Direction

This procedure sets out the factors that must be considered in developing representative samples for audit interviews and work site sampling. This also stipulates minimum interview and work site sampling standards required to meet Energy Safety Canada's audit standards.¹

1.2 Scope

It is important that the auditor conducts employee interviews and work site sampling that sufficiently represent the employer's workforce and operations covered by the scope of the audit.

All audits completed for certification or maintenance of Certificate of Recognition (COR), Small Employer Certificate of Recognition (SECOR) or Medium Employer Certificate of Recognition (MECOR) must be completed using the same basic auditing principles and standards in order to ensure the integrity of the audit process and the credibility of audit results.

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 At the time of audit registration, auditors may be required to provide a sampling plan to ensure that sampling requirements described in 2.2 and 2.9 are met. This plan must be provided for the following scenarios;²

2.1.1 Qualification audits.

2.1.2 Team audits.

2.1.3 Site-Specific audits.

2.1.4 Audits conducted on large and/or complex operations, as detailed in this procedure.

2.2 When selecting their interview sample, auditors must use representative sampling that reflects both the size and complexity of the organization being audited. Interviewees should not be selected based on availability or knowledge of the health and safety systems. To be representative, the interview sample must include employees from:

2.2.1 All departments.

2.2.2 All shifts.

Sensitivity Level: Public

Current approved documents are maintained online. Printed copies are uncontrolled.

- 2.2.3 All employee levels (include a cross section from every staffing level including senior and middle management, supervisors, and workers, including contract, part time, and casual employees).
- 2.2.4 All types of work (if the audit covers multiple provinces, WCB accounts and/or industry codes or classification units, include personnel from each of these).
- 2.2.5 A representative number of work sites (see 2.10).
- 2.2.6 Company history (if the company has been through a recent reorganization or restructuring, include both “old” and “new” parts of the company).
- 2.3 The minimum number of interviews that must be conducted is determined by an employer’s total number of employees within all WCB accounts, and/or industry codes or classification units being audited, and not by the number of work sites visited.
 - 2.3.1 The minimum number of interviews based on the total number of employees can be found in SAC-GDL-004 and 006.³
- 2.4 The auditor may be required to exceed the minimum number of interviews based on the total number of employees in order to meet all the sampling requirements listed in 2.1.
- 2.5 The auditor selects the interviewees prior to starting the audit and provides a schedule to the employer. The auditor may refine this list during the course of the audit.
- 2.6 All interviews must be carried out face-to-face by the auditor.
 - 2.6.1 The use of interview questionnaires is not approved for Energy Safety Canada audits.
- 2.7 Telephone interviews may be considered only in extenuating circumstances (i.e. senior management personnel or highly specialized individuals are unavailable due to their work location during the course of the audit).
 - 2.7.1 The use of telephone interviews requires prior approval from Energy Safety Canada and the rationale for these exceptions need to be noted in the audit report.
 - 2.7.2 Telephone interviews cannot be used as a substitute for a work site visit required to meet representative work site sampling.
- 2.8 The auditor is required to provide a sampling plan during audit registration that includes a proposed sampling plan if auditing large and/or complex operations.
 - 2.8.1 Energy Safety Canada will provide guidance to an auditor that submits a sampling plan to ensure interview requirements are fully understood in advance of the audit.

Sensitivity Level: Public

Current approved documents are maintained online. Printed copies are uncontrolled.

- 2.9** Work site sampling must be representative of the overall operations covered by the scope of the audit. To determine representative work site sampling auditors must, as a minimum, consider the following criteria:
- 2.9.1 All activities under applicable WCB account(s) and industry code(s) or classification unit(s).
 - 2.9.2 Work site size differences.
 - 2.9.3 The diversity of work conditions from one work site to another.
 - 2.9.4 The location of the work sites.
 - 2.9.5 The minimum number of work sites to be sampled as required by the governing bodies.
 - 2.9.6 For multi-jurisdictional audits, work site sampling must include all provinces.
- 2.10** Employers with 3 to 30 fixed manned sites, where employees are stationed on an ongoing basis, must include all work sites as part of the audit scope over the course of the 3-year audit cycle.
- 2.10.1 Unless they are including all work sites as part of their certification audit, an employer with more than 2 sites cannot use the same combination of sites for COR certification that were audited for the previous certification.
 - 2.10.2 An employer with more than 2 work sites must include their main office or shop in each province as part of the work site sample every year. If an employer has 2 main offices/shops in a province, each main site should be included as part of the audit scope every other audit year.
 - 2.10.3 If an employer's audit scope is larger than 30 sites, the employer/auditor must consult with Energy Safety Canada to determine the representative sampling by completing a sampling plan. Energy Safety Canada may consult with the applicable governing bodies to determine an appropriate sampling methodology for these employers.
- 2.11** In cases where the activities (conditions, location, type of work, work site size, number of employees, etc.) inside the employer's scope of operations are not consistent across sites, multi-site audits may require a sampling of more than the minimum number of work sites to be representative. Employers/auditors should consult Energy Safety Canada to determine adequate work site selection.
- 2.12** Employers may have employees who perform work at temporary work sites. These can include field sites, mobile equipment, or motor vehicle fleets (e.g. commercial vehicles). Such activities must be considered as individual work sites and be accounted for under the total number of work sites.

Sensitivity Level: Public

Current approved documents are maintained online. Printed copies are uncontrolled.

- 2.12.1 Where there is potential for more than 30 of these types of work sites, the auditor must contact Energy Safety Canada for guidance and submit a sampling plan.
- 2.13** Employer-owned work sites which may be intermittently visited or serviced by workers but where employees are not stationed on an on-going basis, must be included in the scope of the audit if applicable to the WCB account and industry code(s) or classification unit(s) being audited.
- 2.13.1 There is no minimum sampling requirement for these work sites. Employers/ auditors must determine appropriate sampling through submission of a sampling plan.
- 2.14** Home office sites are not considered to be work sites for purposes of work site sampling. A representative sample of workers who work from their own home office sites should, however, be included in the interview sampling.
- 2.15** Special sampling guidelines apply where staffing agencies (under industry codes 86906 and 86911) provide temporary labour for another employer's operation.
- 2.15.1 Site observations must be conducted where possible but are not subject to minimum site-sampling requirements. Sites should be selected based on level of risk.
- 2.15.2 Temporary employees of a staffing agency that are sent to off-site locations to work for another employer should be categorized separately inside the auditor's sampling table (i.e. the total number of temporary employees and the number of sampled temporary employees should be listed as a separate category of employee inside the auditor's sampling table).
- 2.15.3 Interview sampling for these temporary staffing agency employees is calculated in addition to the minimum required for the sampling of permanent staffing agency employees. The number of temporary employees sampled must be at least equivalent to the number of permanent agency employees sampled.
- 2.15.4 Interviews do not have to be held on the work site.
- 2.15.5 Interviews of temporary workers will focus on orientations, emergency response, hazard assessment, job-specific training provided, right to refuse unsafe work, PPE, injury reporting, SDS and WHMIS. A separate set of interview questions may be provided. Any findings specific to temporary staffing agency workers must be documented inside auditor notes.
- 2.16** The auditor must report and demonstrate compliance with the above sampling standards by tracking their interviews and all work sites (visited and not visited) within the Energy Safety Canada COR Audit Protocol report.

Sensitivity Level: Public

Current approved documents are maintained online. Printed copies are uncontrolled.

2.17 Energy Safety Canada will confirm compliance with the interview and work site sampling standards through the audit quality assurance (QA) review process.

2.17.1 An audit cannot pass Energy Safety Canada’s audit QA review process if it does not comply with the interview and work site sampling standards.

3.0 ROLES & RESPONSIBILITIES FOR PROCEDURE

Auditor	<ul style="list-style-type: none"> ○ Conducts sufficient employee interviews and work site sampling as per the above policy and procedure ○ Contacts Energy Safety Canada for guidance and submits a sampling plan prior to the start of the audit, as required in the above policy and procedure ○ Communicates with Energy Safety Canada any changes to the approved sampling plan during the course of the audit ○ Includes justification of representative sampling when submitting their final audit report that complies with the above procedure ○ Sampling plan approval must be noted within the final audit report
Energy Safety Canada	<ul style="list-style-type: none"> ○ Provides the “Audit Work Site and Interview Sampling Tables” to auditors through the Energy Safety Canada website and as requested ○ Provides guidance to auditors that submit a sampling plan for interview and work site sampling, as required in the above procedure ○ Reviews sampling plan prior to registration approval and approves the plan or requires revisions ○ May provide feedback to the auditor to correct representative sampling justification as part of the audit QA

4.0 REFERENCE DOCUMENTS

¹ SAC-MNL-001 Department Manual

Alberta Government Reference: [Standard 2.1 Audit Sampling](#)

² SAC-CFT-022 Sampling Plan

³ SAC-GDL-004 Audit Worksite and Interview Sampling

SAC-GDL-006 Auditing Staffing Agencies

Sensitivity Level: Public

Current approved documents are maintained online. Printed copies are uncontrolled.