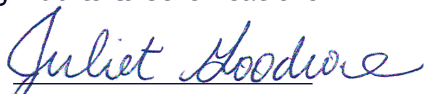




CERTIFYING PARTNER REVIEW

Effective Date: 2018 - 12 - 05

Owned by: Juliet Goodwin
Manager, Safety Audits & Certifications

Approval: 

Approved By: Juliet Goodwin
Manager, Safety Audits & Certifications

Valid Until: 2021 - 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 Certifying Partner 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
SA&C Team	Subject Matter Experts (SME)

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1.0 ABOUT THIS PROCEDURE

1.1 Purpose and Direction

This procedure outlines how Energy Safety Canada commits to maintaining administrative and quality assurance systems designed to meet the governing bodies' standards. To verify that standards are being met on an ongoing basis, the governing bodies undertake regular audits of the work conducted by Energy Safety Canada and offers suggestions for improvement.¹

1.2 Scope

The governing bodies will conduct ongoing quality assurance audits on Energy Safety Canada. Where standards are not being met, Energy Safety Canada will correct the identified deficiencies in a timely manner, and their follow-up must be verified 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 The formal review process begins with a formal letter to Energy Safety Canada, detailing requirements for the audit.

2.2 Several different audit types, including, but not limited to, the following may be conducted on Energy Safety Canada:

2.2.1 Verification audits designed to evaluate the quality of Energy Safety Canada's audit reviews by comparing a sample of audit reports and corresponding reviews to the requirements of the governing bodies' standard.

- Any trends that are identified with the audit reports, Energy Safety Canada audit reviews, Energy Safety Canada administrative processes, or any area where Energy Safety Canada is not meeting the governing bodies standards are identified in the audit report
- In some cases, specific audits or reviews will be identified for further follow-up by Energy Safety Canada.
- Verification audits may be conducted more frequently under the following circumstances:
 - The governing bodies identify significant deficiencies in Energy Safety Canada's process or violations of standards and must re-audit to confirm that recommendations have been implemented, or
 - The governing bodies are made aware that incorrect or substandard practices are occurring in the period between Energy Safety Canada's regularly scheduled reviews.

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- 2.2.2 Audits of the online data entry systems for requesting Certificates of Recognition may be conducted to verify that Energy Safety Canada is correctly entering employer audit data into the system(s).
- 2.2.3 Full or partial reviews of the Safety Audits & Certifications manual and procedures may be conducted to verify that all appropriate procedures are in place to ensure standards are being met.
- 2.3 The audit processes for all governing bodies will result in a written report of findings at the end of the audit process. These reports will include strengths and areas where improvement is required, in order to meet standards, and recommendations that the Energy Safety Canada may want to consider.
- 2.4 The written report will be delivered to Energy Safety Canada during a post-audit meeting or provided electronically.
- 2.5 A post-audit meeting or teleconference presents an opportunity for the Energy Safety Canada to ask questions and respond to any issues identified. If a mutually agreed upon recommendation for change to the draft report is made, the governing bodies will make the change before the report is finalized.
- 2.6 In most cases, Energy Safety Canada will have 6 months to complete the action items identified and submit the documents to the governing bodies for review.
- 2.7 If any action items remain outstanding after the original agreed-to timelines, the governing bodies may meet with Energy Safety Canada to discuss the outstanding recommendations and the plan to complete the actions.

3.0 ROLES & RESPONSIBILITIES FOR PROCEDURE

Energy Safety Canada	<ul style="list-style-type: none"> ○ Receive notification that a CP audit will be occurring and confirms the dates ○ Arrange meeting rooms and a place for the governing bodies to conduct the review ○ Receive information from the governing bodies on the type of review, any identified employers, date span of the audit and number of files to sample ○ Prepare any necessary information or requests a recall of the identified audit (in Small Employer Certificate of Recognition cases) from the employer to have available for the time of the audit ○ Make staff available for interviews or to demonstrate the use of systems
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	<ul style="list-style-type: none">○ Responds to any deficiencies identified and create an action plan with target dates and responsibilities identified to submit to the governing bodies for approval○ Provide updates to the governing bodies on the action plan items and their progress○ Confirm the completion of the action plan items
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4.0 REFERENCE DOCUMENTS

¹ SAC-MNL-001 Department Manual

Alberta Government Reference: [10.5 Quality Assurance Audits of CPs](#)

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