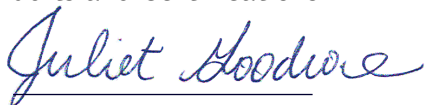




# AMENDMENTS TO CERTIFICATES

Effective Date: 2018 - 12 - 05

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

Approval: 

Approved By: Juliet Goodwin  
Manager, Safety Audits & Certifications

Valid Until: 2020 - 12 - 05


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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, 2019	Melissa Mass	This is the first revision of the Amendments to Certificates 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
SA&C Team	Subject Matter Experts (SME)
Justin DeGagne	Program Manager, Training

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## 1.0 ABOUT THIS PROCEDURE

### 1.1 Purpose and Direction

This procedure outlines how an existing Certificate of Recognition (COR) may be amended by Energy Safety Canada as a result of an employer request or a change to the employer's operation or classification. <sup>1</sup>

### 1.2 Scope

COR amendments based on simple changes (such as a new legal name, WCB account number, or industry reclassification) may be granted by Energy Safety Canada and processed in the governing body's online system or by email request.

More substantial changes to an employer's operation could invalidate the original COR, since the certifying audit would no longer be representative of the employer's operations and management structure. Examples of changes that may require re-certification of an employer's health and safety management system include:

- Acquisition of another company;
- Merger with another company;
- Addition of another division with a different industry;
- Addition of new facilities, or
- Management restructuring

### 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 Employers whose operations have undergone a change may submit a written request to Energy Safety Canada to amend their previously issued COR and receive a revised certificate. <sup>2</sup>

2.1.1 Employers who have been reclassified by the WCB without a change to their operations and assigned a new industry code or classification unit may not be required to send in a request for amendment unless clarification of information is required. This type of amendment may be handled by Energy Safety Canada and the WCB.

2.1.2 Requests for a simple name change within Alberta are submitted to the WCB by the employer. Should the WCB determine the change does not affect the employer's scope of operations, an amended COR will be automatically re-issued, and Energy Safety Canada will be notified through the online system. An employer request to Energy Safety Canada will not be required.

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- 2.2** Energy Safety Canada, in consultation with the governing body, is responsible for determining whether the requested amendment is a simple change, a fundamental change that will invalidate the current COR, or a situation where an existing COR may be transferred following the sale of a business (see section 2.6).
- 2.3** Employers deemed to have undergone a simple change to their business will be issued a new certificate by the governing body with the new name, account number, and/or industry code(s)/classification unit(s).
- 2.3.1 The new certificate will be re-issued only for the parts of the organization that were included under the original certification audit.
- 2.3.2 The new certificate will retain the original expiry date.
- 2.4** Employers that have acquired or merged with another company may be deemed as having undergone a fundamental change. If so, they may be required to complete a new external audit that encompasses the new scope of their business, particularly if the change to their structure includes:
- new employees;
  - new management structure;
  - new operations;
  - new industry code or classification unit (except as assigned in section 2.4);
  - new facilities; or
  - new division(s)
- 2.5** Notwithstanding section 2.5, in certain circumstances a new owner who acquires an operating business with a COR may be allowed to transfer that COR without conducting a new certification audit, if the following conditions are met:
- 2.5.1 The new owner commits to maintaining the existing health and safety management system.
- 2.5.2 The key management and health and safety employees responsible for the functioning of the existing health and safety management system remain in place after the sale.
- 2.5.3 The previous business operations continue essentially unchanged and can be clearly distinguished from any other operations that may be conducted by the new owner.
- 2.5.4 The scope of the new COR will be unchanged from that established by the previous certification audit.
- 2.5.5 The new owner commits to meeting Energy Safety Canada's COR maintenance requirements established by the original certification audit.

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**2.6** If an employer believes that their COR status is inaccurate, they may request that Energy Safety Canada amend it.

2.6.1 COR amendments requested by an employer will be investigated jointly by the governing body and Energy Safety Canada.

2.6.2 If the employer’s concerns are validated by the investigation, Energy Safety Canada will follow the amendment process as required.

### 3.0 ROLES & RESPONSIBILITIES FOR PROCEDURE

Employer	<ul style="list-style-type: none"> <li>○ Submit the necessary documentation outlining and describing the change using SAC-CFT-032.<sup>3</sup></li> </ul>
Energy Safety Canada	<ul style="list-style-type: none"> <li>○ Receive and review the documentation outlining the change from the employer</li> <li>○ Assess the documentation and determine whether the change is a simple change, a fundamental change, or a situation where an existing COR may be transferred</li> <li>○ Review requests for amendments to existing CORs with applicable governing body</li> <li>○ Verify that certificates are not issued to any part of the employer’s operations that were not included in the original audit</li> <li>○ Submit the request to the governing body through the online system or by email, including with the request a description of the company changes and a rationale for granting the change</li> <li>○ Energy Safety Canada will retain the employer’s original request and documentation in the employer’s file and if necessary, provide copies for review by the governing bodies</li> <li>○ Notify the employer regarding the outcome of the request</li> </ul>

### 4.0 REFERENCE DOCUMENT

<sup>1</sup> Energy Safety Canada Reference: SAC-MNL-001  
Alberta Government Reference: Standard [3.8 Amendments to Existing CORs](#)

<sup>2</sup> SAC-CFT-032 Amendment Application

<sup>3</sup> SAC-CFT-032 Amendment Application

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