



USE OF CORPORATE AUDITORS

Effective Date: 2019 - 02 - 01
Owned by: Safety Audits and Certification Department

Approval: _____
Approved By: Justin Degagne, SA&C Acting Manager

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Sensitivity Level: Public

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

Location of Change	Summary of Change
Entire Document	This is the first revision of the Use of Corporate Auditors 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
Justin Degagne	Acting Manager, Safety Audits and Certifications
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 large employers with a complex organization and a well-developed, internal corporate auditing system to use their internal corporate auditors to complete a certification audit if they can demonstrate their independence.

*Energy Safety Canada Reference: SAC-MNL-001, **Appendix K: Application for an Employer to use Corporate Auditors***

Alberta Government Reference: Standard 3.28

1.2 Scope

For internal corporate auditors to be considered for certification audits, they must remain independent of the management for the departments or sites they are auditing. Furthermore, they cannot carry responsibility for the health and safety performance of those operations.

The use of internal corporate auditors for any employer is subject to approval by both Energy Safety Canada and the appropriate governing bodies as required.

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 In order to be eligible for the use of corporate auditors for certification/recertification audits, employers must:

- 2.1.1 Have over 500 employees and multiple work sites.
- 2.1.2 Apply to Energy Safety Canada (and any required governing bodies via Energy Safety Canada) for approval.
- 2.1.3 Use the Energy Safety Canada audit protocol or have their audit protocol approved by Energy Safety Canada and, the appropriate governing body, as required.
- 2.1.4 Have their corporate auditors certified by Energy Safety Canada or have their existing auditor credentials approved by Energy Safety Canada and the appropriate governing body as required.
- 2.1.5 Demonstrate the independence of the corporate auditor(s) from the operation or work site being audited. To fulfill this criterion:

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- Auditors must not report to the management of the operation, work site, or facility they are auditing
- Auditors must not be involved in the development and implementation of the health and safety management system at the operation, work site, or facility they are auditing
- Auditors must not be held accountable for the effectiveness of the health and safety management system of the operation they are auditing
- In the event of a team audit, all members of the team must meet this standard of independence

2.2 Employers who wish to use corporate auditors for their certification audit must submit a written application and supporting documentation for review (see Appendix K: **Application for an Employer to use Corporate Auditors**). This application must include:

2.2.1 Auditor information, including:

- Full list of auditors to be considered
- Auditors' Energy Safety Canada certification numbers (if applicable)
- Auditors' job titles, their reporting unit/work group, and a description of their responsibilities for health and safety within the organization

2.2.2 Organizational information, including:

- Organizational structure
- Reporting relationships between various operations, work sites, or facilities and between these and corporate auditing

2.3 Energy Safety Canada, in consultation with relevant governing bodies (if applicable), shall approve or reject corporate auditors for certification/recertification audits based on the application provided by the employer.

2.4 Energy Safety Canada shall maintain a copy of the employer's application and supporting documentation until the next certification audit or until the COR certification expires.

2.5 The employer must seek re-approval for each subsequent certification audit.

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3.0 ROLES & RESPONSIBILITIES FOR PROCEDURE

<p>Employer</p>	<ul style="list-style-type: none"> ○ Applies to Energy Safety Canada to use internal corporate auditors in advance of registering their certification/ recertification audit ○ Provides the necessary documentation along with a completed application that demonstrates the independence of their corporate auditors for the proposed certification audit and full compliance with the above policy standards
<p>Energy Safety Canada</p>	<ul style="list-style-type: none"> ○ Reviews the application and supporting documentation to ensure compliance with the above policy standards ○ If required, Energy Safety Canada forwards approved applications and all supporting documentation to the relevant governing body for approval ○ Energy Safety Canada communicates its decision, or the decision reached in consultation with the relevant governing body, to the employer ○ If approved, Energy Safety Canada maintains a copy of the employer’s application and supporting documentation until the employer’s next certification audit or the COR certification expires

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