



VERIFICATION AUDIT

Effective Date: 2018 - 12 - 05

Owned by: Safety Audits and Certification Department

Approval: _____

Approved By: Justin Degagne, SA&C Acting Manager

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

Location of Change	Summary of Change
Entire Document	This is the first revision of the Verification Audit 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 verification audits. This includes the circumstances for the verification audit, the process of the audit, reporting and feedback.

Energy Safety Canada Reference: SAC-MNL-001 and SAC-PRO-041
WorkSafeBC (WSBC) Reference: Standard 1.15

1.2 Scope

A verification audit provides an independent review of key areas of an employer's health and safety management system to validate that Certificate of Recognition (COR) certification is justified.

A verification audit can be triggered by questions about the validity of COR-certified employer's health and safety management system, questions about the performance of a given auditor, or at the specific request of a governing body.

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 A verification audit may be requested on a specific employer's health and safety management system under the following circumstances:

2.1.1 A governing body may request a verification audit based on recent health and safety violations or outstanding orders issued against the employer.

2.1.2 Energy Safety Canada may request a verification audit as a part of an investigation into an auditor who completed a recent audit for the employer.

2.2 Employer participation in a verification audit is mandatory.

2.3 Auditors completing verification audits must be seasoned health and safety professionals with adequate auditing experience. Verification audits can be conducted by either:

2.3.1 Qualified Energy Safety Canada staff, or

2.3.2 Qualified external consultants on behalf of Energy Safety Canada.

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- 2.4** The scope of the verification audit will be determined by Energy Safety Canada and the provincial governing body, where appropriate.
- 2.4.1 In situations where only certain portions of the employee's health and safety management system are in questions, a limited scope audit would apply.
- 2.5** The verification audit will be completed using Energy Safety Canada's COR Health and Safety Audit Protocol.
- 2.5.1 In the case of a limited scope audit, only selected questions from Energy Safety Canada's COR Health and Safety Audit Protocol would apply.
- 2.6** Where appropriate, an On-site Site Audit Review (OSAR) may be completed at the same time as the verification audit.
- 2.6.1 OSARs will be completed using the Energy Safety Canada On-Site Audit Review Protocol ([SAC-CFT-012](#)).
- 2.7** Energy Safety Canada shall schedule the verification audit directly with the employer.
- 2.8** The verification auditor shall:
- 2.8.1 Complete the verification audit as per the pre-determined scope and in accordance with Energy Safety Canada's auditing standards.
- 2.8.2 Provide immediate feedback to Energy Safety Canada regarding any serious deficiencies in the employer's health and safety management system.
- 2.8.3 Provide a verification audit report within 30 days of the last day on site.
- 2.9** If applicable, the verification auditor must not provide feedback to the employer on the quality of the original audit while conducting their verification audit.
- 2.9.1 As a health and safety professional, the auditor is permitted and obligated to advise an employer if they observe situations of imminent danger to any employees.
- 2.10** Cases of serious auditor performance issues raised by the verification audit will be dealt with in accordance with the Energy Safety Canada Auditor Performance Management Procedure ([SAC-PRO-041](#)).
- 2.11** In the event an issue is raised concerning the employer's health and safety management system or the validity of the employer's COR, Energy Safety Canada shall:
- 2.11.1 Wherever possible, negotiate a corrective action plan that can address the deficiencies within three to six months.

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- 2.11.2 Where the original audit is shown to be deliberately misleading or grossly incompetent, Energy Safety Canada and/or governing bodies may require a follow-up Certification Audit within three to six months for the employer to maintain their COR status.
- 2.11.3 Communicate all negotiations and decisions regarding employers and their COR status with governing bodies where required.
- 2.12** In situations where an entire new audit was completed, and the employer is in a maintenance year of their COR cycle, Energy Safety Canada will lobby the provincial governing body to have the verification audit count towards maintaining the employer’s COR for the year.
- 2.13** As required, Energy Safety Canada will provide an annual report of verification audits conducted to the appropriate governing bodies.

3.0 ROLES & RESPONSIBILITIES FOR PROCEDURE

Governing Body	<ul style="list-style-type: none"> ○ Identifies employers that require a verification audit based on recent health and safety violations or outstanding orders ○ Requests that Energy Safety Canada perform a verification audit on an identified employer ○ Sends the employer a letter stating the requirement for a verification audit
Energy Safety Canada	<p><i>Upon receiving the list of identified employers from the governing body of who will participate in the verification audit process that year:</i></p> <ul style="list-style-type: none"> ○ May also identify employers that require a verification audit based on an open investigation into an auditor who completed a recent audit for the employer ○ In consultation with governing body (where applicable), determines scope of verification audit (full audit vs. limited scope, etc.) ○ Determines if OSAR will be completed at the same time ○ Selects qualified verification auditor(s) ○ Notifies the employer of the verification audit date <p><i>Following receipt of the verification audit report:</i></p> <ul style="list-style-type: none"> ○ Reviews verification audit findings ○ Where serious issues are identified with the employer’s health and safety management system, works with the employer to set an action plan to deal with the deficiencies ○ As applicable, informs applicable governing bodies of outcome of individual verification audits and subsequent action plans

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	<ul style="list-style-type: none"> ○ Where auditor performance issues are identified, deals with the matter in accordance with the Auditor Performance Management Procedure (SAC-PRO-041). ○ Forwards an annual summary report of verification audits to the governing bodies as required
<p>Verification Auditor</p>	<ul style="list-style-type: none"> ○ Conducts the verification audit in accordance with Energy Safety Canada’s auditing standards using Energy Safety Canada’s COR Health and Safety Audit Protocol (SAC-CFT-014). ○ If applicable, advises the employer if they observe situations of imminent danger to any employees ○ Completes an OSAR Audit Report, if requested to do so ○ Provides immediate feedback to Energy Safety Canada regarding serious deficiencies in the employer’s health and safety management system ○ Provides a final verification audit report to Energy Safety Canada within 30 days of the last day on site

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