



SAFETY AUDITS AND CERTIFICATIONS OUTLINE OF ROLES AND RESPONSIBILITIES JANUARY 23, 2019

INTRODUCTION

The following Outline of Roles and Responsibilities sets out the framework for participation in Energy Safety Canada's Certificate of Recognition (COR), Small Employer Certificate of Recognition (SECOR), Medium Employer Certificate of Recognition (MECOR) process and Injury Management/Return to Work (IM/RTW) certification programs.

The purpose of this document is to inform Employers, Energy Safety Canada Certified Auditors, and Certified Auditor Candidates about their role, to provide answers to frequently asked questions, and to set out a high-level summary of each stakeholder's responsibilities. More specific information can be found in Energy Safety Canada's policies, protocols and agreements. Employers, Energy Safety Canada Certified Auditors, and Certified Auditor Candidates who require additional information are encouraged to contact Energy Safety Canada directly. Contact information for Energy Safety Canada can be found at www.EnergySafetyCanada.com.

LEGAL NOTICE

1. This Outline of Roles and Responsibilities ("ORR") is for general information and is not a binding agreement between Energy Safety Canada and any Employers, Energy Safety Canada Certified Auditors, Certified Auditor Candidates ("Stakeholders"), or any other party
2. Energy Safety Canada does not make any representations or warranties in this ORR, and no party shall place any reliance, legal or otherwise, on the statements made in this ORR.
3. This ORR may be changed in form and/or substance by Energy Safety Canada without prior notice to any Stakeholder.
4. Provisions in this ORR are in some cases based on regulatory standards from government bodies, which are subject to change from time to time.
5. The roles and responsibilities set out in this ORR are superseded by any agreement that Energy Safety Canada may have with Stakeholders, which includes, but is not limited to, agreements between Energy Safety Canada and individual Energy Safety Canada Certified Auditors and agreements between Energy Safety Canada and provincial governing bodies. This ORR does not amend any of these agreements in any way.
6. Energy Safety Canada's obligations are found in the above-referenced agreements. This ORR does not create, modify or enhance existing or additional responsibilities for Energy Safety Canada that are not expressly set out in the above-referenced agreements.



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OUTLINE OF ROLES AND RESPONSIBILITIES

1. Employer Eligibility

- Employers whose WCB industry codes are aligned with Energy Safety Canada are eligible for COR/SECOR/MECOR, IM/RTW and other program services through Energy Safety Canada for the upstream oil and gas industry, as identified by their WCB industry classification(s).
- Employers whose WCB industry codes are not aligned with Energy Safety Canada are also eligible for COR/SECOR/MECOR, IM/RTW and other program services through Energy Safety Canada, but additional fees will apply.
- COR certification is available to large Employers, defined as a company with 11 or more employees, and to smaller companies that choose to meet this standard.
- SECOR certification is available to small Employers, defined as a company with 10 or fewer employees. Employees include the owner(s) and any person(s) covered by the Employer's WCB account.
- The MECOR process is available to Employers with 10 to 19 employees who are transitioning from SECOR to COR certification. It is important to note, MECOR is not a separate type of COR certification. Employers participating in the MECOR process will hold a SECOR certificate until they successfully transfer to COR certification.
- IM/RTW certification is available to Employers that hold a valid COR. The continuation of the IM/RTW certification program is at the discretion of the provincial governing body.
- Employers must be in and remain in good financial standing with Energy Safety Canada and all applicable provincial governing bodies in order to apply for the various forms of certification.

2. Fees and Services

- Details of Energy Safety Canada's COR/SECOR/MECOR and IM/RTW fee structure can be found at www.EnergySafetyCanada.com.
- Energy Safety Canada reserves the right to change its fee structure, without prior notice.
- No refunds or credits will be extended.

3. Confidentiality

- By registering for COR/SECOR/MECOR and/or IM/RTW services through Energy Safety Canada, Employers understand that information provided to Energy Safety Canada as part of the certification process will be shared by Energy Safety Canada with applicable governing bodies, as needed, in order to determine the eligibility of an organization for provincial certification and/or WCB incentives.
- As part of a service to certified Employers, Energy Safety Canada publishes a list of Employers who hold current Energy Safety Canada COR/SECOR certifications on the Energy Safety Canada website.



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- If an Employer does not want their company's COR/SECOR certification status published on the Energy Safety Canada website, they must opt-out of this publication by sending an email to Energy Safety Canada at CORInfo@EnergySafetyCanada.com confirming that they do not want to participate in this Energy Safety Canada service to Employers.
- As part of a service to certified Employers, Energy Safety Canada publishes a list of Certified Auditors qualified to conduct external COR/SECOR audits on the Energy Safety Canada website.
- If a Certified External Auditor does not want their name published on the Energy Safety Canada website, they must opt-out of this publication by sending an email to Energy Safety Canada at CORInfo@EnergySafetyCanada.com confirming that they do not want to participate in this Energy Safety Canada service to Employers.
- Consent for Employers and External Auditors who do not opt-out of the publication of data on the Energy Safety Canada website will be deemed by their registration in the COR/SECOR certification process and/or the Auditor Certification process with Energy Safety Canada.

4. Energy Safety Canada's Role

Energy Safety Canada:

- Provides COR/SECOR/MECOR, IM/RTW and other program services and, where applicable, acts in accordance with its memorandum of understanding (MOU) agreements with provincial governing bodies or other standard setting organizations.
- Upholds the applicable provincial COR/SECOR/MECOR, IM/RTW and other program standards.
- Provides training, certification, coaching and performance management for Energy Safety Canada Certified Auditors, and makes a list of Energy Safety Canada Certified Auditors in good standing available to Employers.
- Manages the audit process including: audit registration, consultation with Employers, Energy Safety Canada Certified Auditors and/or provincial governing bodies on audit issues, audit processing, performing audit quality assurance (QA) reviews, and performing on-site audit reviews when applicable.
- Applies for COR/SECOR, IM/RTW and other certificates from the provincial governing bodies or other standard setting organizations on behalf of Employers that have successfully passed all requirements of a certification audit (including having passed Energy Safety Canada's audit QA review).
- Maintains records on participating Employers and Energy Safety Canada Certified Auditors, as required by provincial governing bodies and other authorities.



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Energy Safety Canada does not:

- Set or negotiate the cost of conducting audits or the terms and conditions established between Employers and Energy Safety Canada Certified Auditors.
- Resolve any contract disputes between Employers and Energy Safety Canada Certified Auditors.

5. Employer's Role and Responsibilities

The Employer will:

- Register with Energy Safety Canada for COR/SECOR/MECOR, IM/RTW and/or other program services it wishes to participate in.
- Familiarize itself and comply with any terms and conditions that are required by the provincial governing body for the Employer's participation in the COR/SECOR/MECOR, IM/RTW or other program services.
- Submit payment of the applicable fees prior to a new audit being registered.
- Update Energy Safety Canada on any company changes that may affect its certification as soon as those changes are known.
- Plan and schedule its audit in a timely fashion to avoid any lapse in certification.
- Be aware that student qualification audits may be used to maintain an Employer's COR only if the audit successfully passes QA review, but that student qualification audits cannot be used to certify or recertify an Employer's COR.
- Schedule its audit during active operational periods.
- Negotiate the terms and conditions, including financial considerations, for audit services directly with the Energy Safety Canada Certified External Auditor. When using an Internal Auditor, employer must ensure this individual is a full-time employee and meets all certification requirements.
- Participate in the audit process and provide the Energy Safety Canada Certified Auditor with any required information to complete the audit.
- Be responsible for resolving any contract disputes with the Energy Safety Canada Certified Auditor independent of involvement by Energy Safety Canada.
- Report in writing to Energy Safety Canada any concerns that it has, based on a reasonable belief, regarding an Energy Safety Canada Certified Auditor's performance, including unethical conduct.
- Retain a copy of its most recent audit (or maintenance option) report.
- Provide Energy Safety Canada with a copy of its most recent audit (or maintenance option) report upon request.
- Allow Energy Safety Canada, agents of Energy Safety Canada and/or provincial governing bodies to complete on-site audit reviews that provide quality assurance verification.



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The small Employer completing a SECOR Assessment will:

- Designate the owner or most senior operational employee familiar with the overall work operations to take the required SECOR training and complete the SECOR Assessment.
- Complete SECOR refresher training in accordance with Energy Safety Canada's standards.
- Register the SECOR audit with Energy Safety Canada prior to submitting the SECOR Assessment.
- Ensure that the person who performs the SECOR Assessment and the person who signs the SECOR Assessment abide by the SECOR Assessor Code of Ethics.

ENERGY SAFETY CANADA CERTIFIED AUDITOR'S ROLE AND RESPONSIBILITIES

Energy Safety Canada Certified Auditors:

- Perform all audit activities in accordance with Energy Safety Canada's current program standards, as set out in the documents referred to in the Energy Safety Canada Certified Auditor's Agreement.
- Comply with and are accountable to the requirements set out in the Energy Safety Canada Certified Auditor's Agreement.
- Conduct themselves at all times in a professional manner and in accordance with the Energy Safety Canada Auditor Code of Ethics.
- Maintain their auditor certification in accordance with Energy Safety Canada's standards.
- Only conduct those audits that they are approved by Energy Safety Canada to conduct e.g. Internal Auditor can only conduct audits for their full-time employer.
- Register all audits with Energy Safety Canada prior to starting the audit.
- Report to Energy Safety Canada any changes (audit cancellation, change in audit type, etc.) to the original audit registration as soon as those changes are known.
- Perform the audit during the Employer's active operational periods.
- Use Energy Safety Canada COR, SECOR, IM/RTW and other applicable audit protocols and other audit materials that are current and made available to the Energy Safety Canada Certified Auditor at the time the audit is performed.
- Negotiate the terms and conditions, including financial considerations, for audit services directly with the Employer and complete the audit according to the agreed upon terms and conditions.
- Resolve any contract disputes with the Employer independent of involvement by Energy Safety Canada.



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- Ensure all audit timelines specified by Energy Safety Canada are met, including:
 - 45 days for on-site information gathering activities, calculated from the first day of on-site activities for COR audits and 15 days for SECOR audits.
 - 21 days for audit report submission following the last day on-site. Energy Safety Canada strongly encourages Energy Safety Canada Certified Auditors to submit their audit reports as soon as possible after completion of on-site audit activities.
 - 15 days to provide corrections for deficiencies identified in the audit QA review, calculated from the date that Energy Safety Canada informs the Energy Safety Canada Certified Auditor of the deficiencies.
 - Having all deficiencies identified by Energy Safety Canada in the audit QA review corrected and approved by Energy Safety Canada within 90 days of the feedback date of the first draft of the report.
 - Completing on-site audit activities by December 31st for a given calendar year, if the audit is being used to achieve or maintain COR/SECOR, IM/RTW or other certification.
- Provide a final printed copy of the audit report to the Employer once the audit has passed the audit QA review carried out by Energy Safety Canada.
- Acknowledge that on-site audit reviews may be performed to provide quality assurance verification.

CERTIFIED AUDITOR CANDIDATE'S ROLE AND RESPONSIBILITIES

The Certified Auditor Candidate must successfully complete all steps in Energy Safety Canada's Certified Health and Safety Auditor Program, including application, taking and passing the Certified Health & Safety Auditor Program, successfully completing a student qualification audit, and signing the Energy Safety Canada Certified Auditor's Agreement before he or she is considered an Energy Safety Canada Certified Auditor.

The Certified Auditor Candidate's role is to:

- Perform all audit activities in accordance with Energy Safety Canada's current program standards.
- Register his or her student qualification audit with Energy Safety Canada prior to starting the audit.
- Report to Energy Safety Canada any changes (audit cancellation, change in audit type, etc.) to the original audit registration as soon as those changes are known.
- Use the Energy Safety Canada COR audit protocol and other audit materials that are current at the time the audit is performed.
- Perform the audit during the Employer's active operation.



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- Inform Employers that student qualification audits may be used to maintain an Employer's COR only if the audit successfully passes QA review, but that student qualification audits cannot be used to certify or recertify an Employer's COR.
- Ensure all audit timelines specified by Energy Safety Canada are met, including:
 - Completing the Energy Safety Canada Certified Health and Safety Auditor Course within twelve months of the date when Energy Safety Canada approves the individual's candidacy to become an Energy Safety Canada Certified Auditor
 - Submitting the student qualification audit within six months from the last day of the Energy Safety Canada Certified Health and Safety Auditor Training Program.
 - 45 days for on-site information gathering activities, calculated from the first day of on-site activities for COR audits and 15 days for SECOR audits.
 - 21 days for audit report submission following the last day on-site. Energy Safety Canada strongly encourages Certified Auditor Candidates to submit their audit reports as soon as possible after completion of on-site audit activities.
 - 15 days to provide corrections for deficiencies identified in the audit QA review, calculated from the date that Energy Safety Canada informs the Certified Auditor Candidate of the deficiencies.
 - Having all deficiencies identified by Energy Safety Canada in the audit QA review corrected and approved by Energy Safety Canada within 90 days of the feedback date of the first draft of the report.
 - Completing on-site audit activities by December 31st for a given year, if the audit is being used to maintain COR certification.
- Provide a final printed copy of the audit report to the Employer once the audit has passed the audit QA review carried out by Energy Safety Canada.
- Acknowledge that on-site audit reviews may be performed to provide quality assurance verification.