SAFETY AUDITS & CERTIFICATION DEPARTMENT MANUAL

Effective Date: 2018 – 11 - 01

Owned by: [Name, Position]

Approval: _____

Approved By: [Name, Position]

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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 Safety Audits & Certification Manual. This revision brings the manual template into alignment with the templates used by the Governing Documents Framework.

⚠ **R**   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 Manual.

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 MANUAL

1.1 Purpose and Direction

Energy Safety Canada has developed this Safety Audits & Ceritfication Manual to reflect its procedures as it relates to all three provincial jurisdications: Alberta, British Columbia, and Saskatchewan. Questions about specific procedures should be directed to corinfo@energysafetycanada.com

1.2 Scope

The procedures in this manual indicate the rules Energy Safety Canada applies when interpreting or making decisions on issues. The manual is provided to support the management of the Certificate of Recognition (COR) program in ensuring decisions and interpretations are met in a consistent manner.

1.3 Target Audience

The Target Audience is all Energy Safety Canada personnel in any work location which includes employers and auditors.

2.0 SECOR PROCESS

2.1 SECOR Eligibility

Small employers with 10 or fewer employees (which include owners, managers, supervisors and/or workers) may pursue a SECOR by using Energy Safety Canada's audit standard specifically designed to meet the application and training needs of small employers.

The SECOR program provides employers a manageable and cost-effective means of participating in the COR program. The SECOR has been designed to enable the owner or an employee familiar with the overall work operation to serve as a SECOR assessor and complete the SECOR report. Employers in the SECOR program also have the option of using an Energy Safety Canada external auditor to complete their SECOR report.

2.2 Assign Assessor / External Auditor

2.2.1 *Assessor*

Small employers who are eligible for the Energy Safety Canada SECOR certification must have the owner or an employee familiar with the overall work operation successfully complete the Energy Safety Canada Safety Program Development course. This individual is then eligible to function as the SECOR assessor for the purposes of SECOR certification or maintenance. The SECOR assessor is responsible to attend every three years an Energy Safety Canada approved training course or approved elective course (based on the anniversary date of the most recent required training course).

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2.2.2 SECOR Audit Reports

SECOR audit reports completed by a SECOR assessor must pass a quality assurance (QA) review by Energy Safety Canada before they can be approved. The audit QA review ensures that the reports meet all applicable Energy Safety Canada and provincial SECOR audit standards.

Energy Safety Canada Reference: SAC-PRO-001
Alberta Government Reference: Standard 7.2

2.2.3 External Auditor

While many of the procedures of the SECOR audit conducted by a SECOR assessor are applicable the SECOR audit carried out by an external auditor there are some important differences.

Small employers may choose to use an Energy Safety Canada certified external auditor to perform their SECOR certification or maintenance audits. Employers using an external auditor must follow the same requirements as the SECOR audit conducted by a SECOR assessor with respect to the owner, most senior operational person, or employee familiar with the overall operation successfully completing the Energy Safety Canada Safety Program Development course.

The external auditor performing the SECOR audit must complete all required auditor training on the SECOR audit in advance of starting a SECOR audit.

Energy Safety Canada Reference: SAC-PRO-006

2.3 Training

The following training requirements must be met before registering a SECOR audit:

The assessor or external auditor must have completed the Energy Safety Canada Safety Program Development course,

If it has been three or more years since taking the initial Safety Program Development course, the assessor or external auditor must first complete one of the Energy Safety Canada refresher training courses. These include:

- Hazard Management,
- Incident and Accident Investigation,
- Introduction to OHS Legislation Training, or
- Supervisor Leadership for H&S in the Workplace
- Oilfield Driver Awareness.

Energy Safety Canada Reference: SAC-PRO-001
Alberta Government Reference: Standard 6.2

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It is important to note that the assessor or external auditor that carries out the SECOR audit maintains a high degree of accuracy, honesty, and professionalism. The Energy Safety Canada Auditor Code of Ethics provides employers conducting a SECOR audit a clear guide to Energy Safety Canada's expectations. Violations of the SECOR Auditor Code of Ethics will be investigated and addressed by Energy Safety Canada as appropriate.

Energy Safety Canada Reference: SAC-PRO-001
Alberta Government Reference: Standard 7.1

2.4   Registering a SECOR Audit

The SECOR assessor has a responsibility to register each audit with Energy Safety Canada prior to its start date. The Audit Registration System (ARS) provides support, guidance and enhanced customer service to both the employer and assessor. The system also enhances Energy Safety Canada's ability to manage its resources, as it tracks the approximate submission date of each audit.

All Energy Safety Canada fees payments will need to come directly from the employer prior to an audit registration being approved.

An Energy Safety Canada certified external auditor will not fall under this section as a SECOR assessor unless they are looking to achieve SECOR certification for their own company.

2.4.1   Online (SECOR Audit Request)

Once the SECOR audit is complete, the SECOR assessor would then register the audit on Energy Safety Canada.ca by uploading the required documentation. The program administrators then process that registration.

Energy Safety Canada Reference: SAC-TXP-001

2.4.2   Binder

Once the SECOR audit is complete, the SECOR assessor would send the binder to Energy Safety Canada. The program administrators would then register the audit on the employees' behalf.

Energy Safety Canada Reference: SAC-TXP-001

2.4.3   External Auditor

Once the External Auditor completes their SECOR audit, they are responsible for registering the audit on Energy Safety Canada's online auditor portal and uploading all supporting documentation. The program administrators then process that registration

*Energy Safety Canada Reference: SAC-TXP-00*1

2.5 Submitting the SECOR Audit

Submitting the audit may be performed by using the Energy Safety Canada's SECOR submission package which includes:

- Supporting documentation as required by the SECOR submission package.
- An action plan addressing any deficiencies noted in the SECOR report.
- A signed and dated agreement that expresses the SECOR assessor's compliance with the Energy Safety Canada SECOR Assessor Code of Ethics and all other applicable Energy Safety Canada standards.
- An additional signature of approval from the owner, most senior operational person, or employee familiar with the overall work operations where another employee has served as the SECOR assessor.

Energy Safety Canada Reference: SAC-TXP-002

2.6 Quality Assurance (QA) Review

SECOR audit reports conducted by an assessor or an external auditor must pass a QA review by Energy Safety Canada before they can be approved for the purposes of SECOR certification or maintenance. The audit QA review ensures that the reports meet all applicable Energy Safety Canada and provincial SECOR audit standards.

Energy Safety Canada Reference: SAC-PRO-001
Energy Safety Canada Reference: SAC-TXP-003
Alberta Government Reference: Standard 2.2

2.7 SECOR Certificate Issued / Maintained

Energy Safety Canada will follow standard practices with respect to:

- Providing or applying for SECOR certificates for employers that successfully met standards with their SECOR audits for certification purposes.
- Notifying employers and, as required, updating governing bodies, to confirm successful maintenance of their SECOR.
- Maintaining a copy of the completed QA review and/or action plan until the next audit is complete.
- Cancelling SECOR certificates.

Energy Safety Canada Reference: SAC-TXP-004

2.8 MECOR

The Medium Employer Certification of Recognition (MECOR) process provides growing small employers in the SECOR program and new employers a graduated process for achieving a regular COR. With this process, employers undergo a SECOR External Audit for certification followed by two maintenance years in which the regular COR audit protocol is applied.

In the case of the MECOR Process, a SECOR Audit conducted by an external auditor is required.

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Energy Safety Canada Reference: SAC-PRO-001
Energy Safety Canada Reference: SAC-TXP-001
Energy Safety Canada Reference: SAC-TXP-002
Energy Safety Canada Reference: SAC-TXP-003
Energy Safety Canada Reference: SAC-TXP-004
Energy Safety Canada Reference: SAC-GDL-###
Alberta Government Reference: Standard 1.8

3.0 COR PROCESS

3.1 COR Eligibility

Employers with more than ten employees are eligible for a 3-year COR certification if their health and safety management system has been in place for at least a year. Documentation required by the audit process must exist to support this. Employers seeking first time COR certification who have only recently implemented health and safety systems will not be eligible for a 3-year SECOR but may be eligible for a one-year certificate.

CORs must be maintained by conducting annual maintenance requirements within both the first and second calendar years after the certificate issue date. If maintenance is not conducted, the COR will be cancelled.

3.2 Registering a COR Audit

The person conducting the audit has a responsibility to register each audit with Energy Safety Canada prior to its start date.

All Energy Safety Canada fees payments will need to come directly from the employer prior to an audit registration being approved.

Standard COR Audits can be uploaded via the Auditor Portal on the Energy Safety Canada website. If an employer is utilizing an alternative COR Audit option, this may necessitate first submitting an application to Energy Safety Canada.

Energy Safety Canada Reference: SAC-PRO-016

3.3 Submitting the COR Audit

Once the Audit is completed, it is the Auditor's (or internal assessor's) responsibility to submit said audit and all supporting documentation to Energy Safety Canada for quality assurance review.

3.4   Quality Assurance (QA) Review

COR audit reports conducted by an assessor or an external auditor must pass a QA review by Energy Safety Canada before they can be approved for the purposes of COR certification or maintenance. The audit QA review ensures that the reports meet all applicable Energy Safety Canada and provincial COR audit standards.

Energy Safety Canada Reference: SAC-PRO-015
Alberta Government Reference: Standard 2.2

3.5   Certification Audit

Description:

To be issued a COR, an external auditor must submit a certification audit on behalf of the employer that meets the standards of Energy Safety Canada and applicable governing bodies

Eligibility:

Employers with more than ten employees are eligible for a 3-year COR certification if their health and safety management system has been in place for at least a year.

Employers seeking their first time COR certification who have only recently implemented health and safety systems can conduct a one-year COR Certification Audit.

3.5.1   *External Auditor*

All certification audits must be completed by a current Energy Safety Canada external auditor.

External Auditors must be in compliance with the Energy Safety Canada Auditor Code of Ethics. It is important that there is no conflict of interest in carrying out an audit for a specific employer.

3.5.2   *Limited Scope Audit*

A Limited Scope Audit is an audit that is conducted only on the deficiencies identified during an employer's health and safety audit. To be eligible, the employer's original external audit must achieve a minimum overall audit score of 70% and may include one or more audit elements scored below 50%. Limited Scope Audits offer an employer with minor system deficiencies the opportunity to achieve certification without repeating the entire audit process.

An employer who meets the Energy Safety Canada audit scoring standard after successfully completing a Limited Scope Audit may be eligible for a COR.

Energy Safety Canada Reference: SAC-PRO-017
Alberta Government Reference: Standard 1.1
Alberta Government Reference: Standard 1.3

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3.6 Partnerships Audit Standard Equivalency (PASE)

Description:

Employers with mature health and safety management systems may be eligible for participation in the PASE program through Energy Safety Canada and the applicable governing bodies. Energy Safety Canada offers this an option to assist in participation on the COR program without the need to duplicate audit systems and processes

Eligibility:

To be eligible for PASE, employers would need to demonstrate sufficient alignment between their audit instruments and processes with the audit criteria established by the applicable governing bodies

The applicable governing body will make the final decision to determine if an employer's audit system meets the PASE requirements.

SECOR and MECOR employers are not eligible for the PASE program.

3.6.1 PASE Auditor

Employers must use an approved Energy Safety Canada PASE Auditor to transfer audit results from the employer's audit instruments to the Energy Safety Canada PASE Gap Analysis.

Energy Safety Canada shall maintain a list of Energy Safety Canada certified auditors who are approved to conduct PASE audits.

Energy Safety Canada Reference: SAC-PRO-014
Alberta Government Reference: Standard 1.6

3.7 National or International Standard Equivalency (NISE)

Description:

The NISE process allows employers the choice of using a national or an international audit standard, (e.g., OHSAS 18001) to maintain their COR.

Eligibility:

Employers must achieve and maintained a COR for a minimum of four (4) consecutive years previously and have obtained a minimum overall score of 90% on their previous recertification audit

Employers considering this option are asked to submit a formal request to Energy Safety Canada, describing the NISE audit protocol for which they seek approval to use for their COR maintenance.

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The employer must also ensure that the intended auditor is trained and certified to the NISE standard they are proposing.

3.7.1 *NISE Auditor*

The auditor who conducts the audit for submission under NISE is trained and certified in the audit standard selected. That standard must be an approved NISE Audit standard (e.g., OHSAS 18001)

Energy Safety Canada Reference: SAC-PRO-009
Alberta Government Reference: Standard 1.20

3.8   Roll Up Audit

Description:

A roll-up audit allows these multiple individual audits to be submitted to Energy Safety Canada in the form of a single combined audit.

The roll up process is designed for large employers with multiple work sites, separate operations, or multiple accounts who want to conduct full audits of their individual business units rather than conduct a typical company-wide audit of their operations/accounts. This allows employers to focus on their individual units and carry out a more thorough examination. The resulting audit reports and recommendations would be specific to each individual unit.

Eligibility:

The roll-up process is available to COR employers for both certification audits and maintenance audits.

Energy Safety Canada Reference: SAC-PRO-024
Alberta Government Reference: Standard 1.16

3.9   COR Maintenance Audit

Description:

A COR is valid for three years from the date of issue, provided that annual maintenance requirements are met. To maintain an employer's COR, a maintenance audit or an approved maintenance audit option must be conducted for two consecutive years following certification. If the employer fails to meet the audit scoring requirements or is unable to pass the Energy Safety Canada QA review, the employer's certificate must be cancelled.

Eligibility:

The employer must achieve at least a 60% score overall to maintain their COR in both two consecutive years. If the maintenance option used in lieu of an audit is unsuccessful, the employer is required to complete a maintenance audit prior to the end of the calendar year to maintain their COR.

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Maintenance audits must be undertaken by an internal auditor, an external auditor, or an auditor candidate seeking auditor certification.

3.9.1 Internal Auditor

The internal auditor must be an employee of the company being audited with a significant level of knowledge around the company's operations and safety programs

3.9.2 Candidate Auditor

A candidate auditor is an individual who has applied as either an internal or external auditor and has taken the Energy Safety Canada Certified Health and Safety Auditor Program course, but has yet to complete their qualifying audit.

Energy Safety Canada Reference: SAC-PRO-022
Alberta Government Reference: Standard 1.4

3.9.3 Audit Timeframes

Each year annual maintenance audits must be completed by the employer's anniversary date on their COR certificate or by the end of the quarter the anniversary date falls in (Q1 - March 31, Q2 - June 30, Q3 - Sept 31 or Q4 - Dec 31).

If the anniversary date falls in the last month of the year, the audit must be submitted prior to the end of the calendar year.

In extenuating circumstances, Energy Safety Canada may grant more time past the end of the calendar year for the audit to be submitted. This would be no later than January 15.

If the audit is submitted past January 15, it would be deemed invalid and a new Certification audit would need to be conducted to recertify the employer's COR.

Applications must be registered by January 31, and action plan applications must be submitted first on March 31, and then the deadline to submit deliverables is the following November 30th.

Annual maintenance audits or options must be completed by December 31 of the calendar year.

3.10 Action Plans

Description:

An employer may request approval from Energy Safety Canada to use an Action Plan in lieu of conducting a maintenance audit to maintain their COR, provided the company meets the necessary requirements. In some cases, employers may find it more valuable to focus their resources on implementing Action Plan items rather than conducting annual maintenance audits.

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Eligibility:

Action Plans are accepted in all provinces that an employer holds a COR. British Columbia COR Audit holders also require approval from WorkSafeBC. British Columbia will be discontinuing the Action Plan process as of January 1, 2019.

Small Employer Certificate of Recognition (SECOR) and Medium Size Employer Certificate of Recognition (MECOR) are not eligible for Action Plans.

3.10.1 *Non-Certified Individual*

The company may appoint an employee to be the main contact in regards to the submission of the Action Plan and final deliverables. This individual does not require auditor certification.

Energy Safety Canada Reference: SAC-PRO-013
Alberta Government Reference: Standard 1.5

3.11 Safety Surveys

Description:

The safety survey is a maintenance option that allows employers to use an approved safety survey and action planning process to meet their maintenance audit requirement over two consecutive maintenance years.

The survey is completed in the first maintenance year and then a Safety Survey Action Plan is developed to correct any deficiencies based on the survey results. In the second year the employer actively pursues and documents completion of the action plan items.

Eligibility:

Employer must have a valid COR for four or more consecutive years, and have a mature safety management program which has been measured and proven within the scope of the Energy Safety Canada COR Audit Protocol

Employers in the PASE and MECOR process are not eligible for this option

3.12 Safety Survey Action Plan

In the second Maintenance year, the Safety Survey Action Plan is implement and any identified gaps are addressed

Energy Safety Canada Reference: SAC-PRO-025
Alberta Government Reference: Standard 1.17

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3.13 Baseline Audits

Description:

A company who is wishing to see how they measure against the Energy Safety Canada COR Audit Protocol, may wish to conduct a baseline audit. This Audit may or may not be submitted for QA. There is no certification awarded for a baseline audit.

Alternatively, a certified auditor or candidate auditor may wish to complete a baseline audit for the purposes of qualifying or recertifying their auditor status. For these purposes the audit must be registered.

Eligibility:

Any company with a mature health and safety management system may have a baseline audit completed.

3.14 Additional Audit Types

3.14.1 Conducting Audits with Out-of-Scope Worksites

Employers that do not maintain a continuous presence in Alberta, but who routinely operate temporary worksites in other western provinces may qualify for a regular 3-year COR. Employers using this option are required to provide Energy Safety Canada with an Employer Health and Safety Performance Report (Appendix V) as the referenced Alberta Government Standard states.

3.14.2 Return to Work Audit

The Return to Work program through WorkSafeBC is currently on hold and not accepting any new employers to the program. Only employers currently in the program can include RTW in their audits. A RTW audit can be completed as a stand alone or with a certification or maintenance audit.

Energy Safety Canada Reference: SAC-PRO-018
Alberta Government Reference: Standard 3.13

3.14.3 Extensions

The COR program has many audit and certification processes with associated time frames and deadlines set by the appropriate governing bodies. It is the expectation that these timeframes be followed by all program stakeholders. However, under extenuating circumstances, extensions to program time frames may be considered.

Energy Safety Canada Reference: SAC-PRO-019
Alberta Government Reference: Standard (paragraph) 1.1.9.1, 1.1I, 1.4.7.2, 1.4F, 1.7G, 1.8.5, 1.17.4.1, 2.2I, 8.2.11, 8.2.11.1, 8.2E, 10.5.5.2.2, 10.5.5.2.3, 10.8.10.6, 2.2.13.3

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3.14.4 *Site Specific*

An employer may have two or more work sites classified under the same WCB account and industry code. The employer may choose to conduct a site-specific audit on one work site only. Should all Energy Safety Canada requirements be met, the resulting COR would include an identifier (typically the work site name) in the trade name field.

The employer would not be eligible for a financial incentive unless all the work sites under that same WCB account and industry code also earned a COR.

In some circumstances, the employer may request from the governing body to split their operations into separate accounts to avoid the use of site-specific audits. If the separate accounts are granted, then the employer's CORs would cover the scope of each account and make each site individually eligible for financial incentives.

Energy Safety Canada Reference: SAC-PRO-026
Alberta Government Reference: Standard 1.14

3.15   Team Audit

This procedure defines the circumstances under which audits may be performed by a team of auditors rather than just an individual.

Auditors may audit as part of a team for many reasons:

- The employer may be too large for one auditor to manage on their own
- Multiple certified auditors may need an opportunity to participate in an audit as a means of maintaining their auditor status
- Auditor candidates may require an opportunity to participate in an audit for auditor certification purposes. Energy Safety Canada allows only one auditor candidate in a team audit.

All team audits along with the supplemental sampling plan must be approved by Energy Safety Canada at time of audit registration.

Energy Safety Canada Reference: SAC-PRO-027
Alberta Government Reference: Standard 1.2

3.16   Use of Corporate Audits for COR Maintenance (not currently active)

NOTE: This option is not available for British Columbia employers.

COR employers may be eligible to use their corporate Occupational Health and Safety audit for certificate maintenance if pre-approved by the appropriate governing body and Energy Safety Canada.

It is recognized that very large organizations may have developed their own corporate health and safety audit documents customized to evaluate the employer's specific health and safety management system. To provide employers with additional options for COR maintenance, and reduce the amount of auditing required by these employers, corporate audits could be used as a maintenance option.

Energy Safety Canada and the appropriate governing body will track the recertification audit results of employers that use corporate audits as a maintenance option.

Energy Safety Canada Reference: SAC-PRO-028
Alberta Government Reference: Standard 1.21

3.16.1 *Injury Management Return to Work Audit*

PLEASE NOTE: The Injury Management/Return-to-Work (IM/RTW) program is under review. The IM/RTW certification is only accessible to grandfathered employers.

The IM/RTW program is a way for employers to help injured workers stay at work or return to productive and safe employment as soon as physically possible after a work-related accident.

Energy Safety Canada Reference: SAC-PRO-020

4.0 CERTIFICATE TYPES

4.1 COR Certification

4.1.1 *Standard Three-Year COR Certification*

Description:

Unless there is a stipulation that a certification audit is for a six-month COR or a one-year COR, employers withll be awarded a three-year COR upon successful completion of a certification audit.

Certification audits used to issue a three-year COR must meet all the standards set out for COR certification audits.

The three-year COR certificate will be issued based on the employer's WCB account number(s), industry code(s)/classification unit(s), leagal names and trade names ,and where applicable site names (for site specific audits in Albeta only), in its database record og the certification.

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4.1.2 *One Year Audit Certification*

Description:

A One-Year COR or One-Year SECOR may be issued to allow certification for employers who have undergone a period of rapid growth or employers with a health and safety management system that has not been in place for a full 12 months (required for a regular three-year certification). A One-Year COR or One-Year SECOR still requires at least three months of historical documentation.

Sometimes employers may experience a situation when due to general economic conditions, their operations are substantially diminished to the point where they have no active worksites, or where their activity levels are so low that representative audits cannot be conducted. In this situation, an employer may apply to Energy Safety Canada for a one-year COR.

At the recommendation of Energy Safety Canada and/or a governing body, a One-Year COR may also be issued in situations in which a standard three-year certification is not warranted.

4.1.3 *Six-Month COR Certification (Administrative Audit)*

Description:

A Six-Month COR can be issued to employers in the regular COR program who are seeking recertification without active worksites or where their current activity level is too low to be representative of their operations. In these situations, employers have the option of conducting an administrative audit, which, if successful, will make the employer eligible for a Six-Month COR.

Employers will be offered the opportunity to seek a second Six-Month COR, if they do not have an active work site before expiry of their first Six-Month COR. The second Six-Month COR may be conducted by an external auditor or by the employer's certified internal auditor. The second or subsequent Six-Month CORs will not be eligible for PIR refunds.

Eligibility:

To be eligible for a Six-Month COR, an employer must hold a COR that is about to expire or has expired within the last three months, and be facing one of the following situations:

- Their recertification audit is scheduled for a period when their operations and workforce levels are well below average for the employer.
- They have no active worksites and their COR is about to expire.

The Six-Month COR is not available to employers seeking COR certification for the first time, nor is it available for employers in the SECOR program as there is no requirement for active worksites when completing the SECOR Audit.

Energy Safety Canada Reference: SAC-PRO-021
Alberta Government Reference: Standard 1.3

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5.0 CATEGORIES OF AUDITOR PROGRAM MANAGEMENT

5.1 Safety Program Development Course Development

To participate in the Certificate of Recognition (COR) program, each employer is responsible to develop and implement their own health and safety management system. To assist employers with this task, Energy Safety Canada has available a Safety Program Development (SPD) course for participating employers.

Energy Safety Canada Reference: SAC-PRO-033

Alberta Government Reference: 5.1 and Appendix M

5.2 Certified Health and Safety Auditor Program Development

All auditor candidates are required to take the Certified Health and Safety Auditor Program (CHSAP). Energy Safety Canada develops the CHSAP course and exam to meet the governing bodies requirements.

Energy Safety Canada Reference: SAC-PRO-034

Alberta Government Reference: 6.1 and Appendix N2

WSBC Standards and Guidelines: 4.0

5.3 Auditor Prerequisites

Energy Safety Canada offers two certifications for safety auditors. The first track is for Internal Auditors who are intending to perform internal (maintenance) audits for the company with whom they are full-time employees. An Internal Auditor cannot conduct an audit on behalf of any other company.

The second track is for External Auditors who may be hire by companies to conduct external (certification or re-certification) audits. The External Auditor track has additional education and experience-level requirements.

Prerequisites have been established for both auditor tracks. The Internal Auditor prerequisite is as follows:

- Be employed on a full-time basis with the company that you will be auditing.

The External Auditor prerequisites are as follows:

- Hold a professional designation in health and safety, such as a Canadian Registered Safety Professional or other approved professional designation; or hold a certificate, diploma, or degree in Occupational Health and Safety from one of the eligible programs.
- Have a minimum of five years' experience as a well-rounded safety professional within the last ten years.
- Complete the online Common Safety Orientation course.

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These prerequisites must be met prior to an auditor candidate submitting an application for approval to participate in the Certificated Health and Safety Auditor Program (CHSAP).

Energy Safety Canada Reference: SAC-PRO-035

Alberta Government Reference: Standard 6.1 and 6.2

5.4   Auditor Certification

Auditor candidates must successfully complete both the Safety Program Development course or qualify for exemption and the Certified Health and Safety Auditor Program and exam before becoming eligible to attempt a qualification audit. The qualification audit demonstrates whether or not candidates have achieved the required competencies to function as a certified Health and Safety Auditor. Auditor certification is valid for a three-year period.

Energy Safety Canada Reference: SAC-PRO-036

Alberta Government Reference: Standard 6.2

5.5   Auditor Recertification

Certified auditors must be recertified at least once every three years. To be eligible for recertification, auditors must attend the one-day Certified Health and Safety Auditor Renewal course and successfully complete a minimum of two audits or maintenance audit options within the three-year auditor certification period.

Energy Safety Canada Reference: SAC-PRO-037

Alberta Government Reference: Standard 6.2

5.6   Energy Safety Canada Employees as Auditors

Energy Safety Canada employees are encouraged to pursue Energy Safety Canada Auditor Certification for professional development purposes. A part of completing and maintaining auditor certification is conducting audits. However, it is important to distinguish those situations where Energy Safety Canada employees may conduct audits from those in which Energy Safety Canada employees conducting audits would be a real or perceived conflict of interest.

Energy Safety Canada Reference: SAC-PRO-038

Alberta Government Reference: Standard 6.8

5.7   Use of Corporate Auditors

Large employers with a complex organization and a well-developed, internal corporate auditing system may use their internal corporate auditors to complete a certification audit if they can demonstrate their independence.

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.

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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.

Energy Safety Canada Reference: SAC-PRO-039

Alberta Government Reference: Standard 6.6

5.8 On Site Audit Review

An On Site Audit Review (OSAR) is conducted to validate the key findings of Energy Safety Canada certified auditors and ensure appropriate audit process was followed.

OSARs are not a re-audit of the employer's health and safety management system, they are intended to validate auditor results and audit processes. OSARs are completed by either the provincial governing body or by a representative of Energy Safety Canada.

In order to verify the work of external auditors conducting certification, recertification and maintenance audits, OSARs will be conducted annually.

Energy Safety Canada Reference: SAC-MNL-040

Alberta Government Reference: Standard 2.8

6.0 CATEGORIES OF PERFORMANCE MANAGEMENT

Energy Safety Canada is obliged to ensure that its stakeholders within the COR/SECOR program (i.e. certified auditors, auditor candidates, SECOR assessors, employers and SA&C staff (including audit reviewers)) maintain a high standard in terms of ethical behavior and professional performance. As such, Energy Safety Canada has developed a Performance Management program which includes; procedures, guidelines and code of ethics to ensure that all stakeholders conduct themselves with honesty and professionalism.

6.1 Outline of Roles and Responsibilities

The Outline of Roles and Responsibilities sets out the framework for participation in Energy Safety Canada's COR, MECOR process, SECOR and IM/RTW certification programs. The guideline (SAC-GDL-003) outlines the roles for Energy Safety Canada, employers, certified auditors, certified auditor candidates, or any other party.

Energy Safety Canada Reference: SAC-PRO-042, and SAC-GDL-003

6.2 Certified Auditors

Certified auditors are required to maintain high standards in terms of ethical behavior and professional performance in their auditing role. Furthermore, Energy Safety Canada has an obligation to its industry partners. Our industry partners should carry a positive expectation that auditors certified by Energy Safety Canada will consistently conduct themselves with honesty and the highest degree of professionalism. The Auditor Performance Management procedure (SAC-PRO-041) is meant to create accountability to this high standard.

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Specifically, it outlines how Energy Safety Canada manages auditors when their performance raises either ethical and/or audit QA issues.

A Visual Guide to the Energy Safety Canada Performance Management Procedure (SAC-PXP-030) is available for review.

Energy Safety Canada Reference: SAC-PRO-041 and SAC-PXP-030

Alberta Government Reference: Standard 6.5

6.2.1 Auditor Agreement

Before being allowed to register and complete audits, all auditors must sign an Energy Safety Canada Auditor's Agreement (SAC-CFT-001) indicating that they will follow the Auditor Performance Management procedure.

Energy Safety Canada Reference: SAC-CFT-001

6.2.2 Code of Ethics

All auditors must understand the importance of the Energy Safey Canada Auditor Code of Ethics (SAC-CFT-002) and consistently uphold its principles. The purpose of this code is to deter wrongdoing. It addresses professionalism and intergrity, confidentiality, conflict of interest, conduct, compliance and duty to report.

Energy Safety Canada Reference: SAC-CFT-002

Alberta Government Reference: Standard 6.5

6.3   SECOR Assessors

6.3.1 Code of Ethics

All SECOR Assessors must understand the importance of the Energy Safety Canada SECOR Assessor Code of Ethics (SAC-CFT-003) and consistently uphold its principles. The purpose of this code is to deter wrongdoing. It addresses professionalism and integrity, assessor conduct and compliance.

Energy Safety Canada Reference: SAC-CFT-003

Alberta Government Reference: Standard 7.1

6.4   Energy Safety Canada SA&C Staff

6.4.1 Code of Ethics

All Energy Safety Canada SA&C Staff must understand the importance of the Energy Safety Canada SA&C Staff Code of Ethics (SAC-CFT-005) and consistently uphold its principles. The purpose of this code is to deter wrongdoing. It addresses Energy Safety Canada Human Resources policies, confidentiality and corporate opportunity.

Energy Safety Canada Reference: SAC-CFT-005

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6.5   On Site Audit (OSA) Reviewer

6.5.1   *Code of Ethics*

All OSA Reviewers must understand the importance of the Energy Safety Canada OSA Reviewer Code of Ethics (**SAC-CFT-006**) and consistently uphold its principles. The purpose of this code is to deter wrongdoing. It addresses conflict of interest, confidentiality, professional conduct, diligence, corporate opportunity, duty to report, compliance with standards and compliance with legislation.

Energy Safety Canada Reference: SAC-PRO-040 and SAC-CFT-006

Alberta Government Reference: Standard 2.9 and 10.11

6.6   Audit Reviewers

Given audit reviewers serve a critical role in upholding COR standards in the audit process, tracking and improving their performance is critical to the integrity of the COR program as a whole. As a certifying partner, it is important that Energy Safety Canada takes reasonable steps to ensure the integrity and consistency of the work of both staff and contract audit reviewers.

Energy Safety Canada Reference: SAC-PRO-015, SAC-PRO-056 and SAC-CFT-007

Alberta Government Reference: Standard 2.4

6.6.1   *Code of Ethics*

Audit reviewers are held accountable by a code of ethics (**SAC-CFT-007**). The goal is to prevent situations in which there is a real or perceived conflict of interest and to uphold professional standards. The purpose of this code is to deter wrongdoing. It addresses conflict of interest, confidentiality, professional conduct, corporate opportunity, duty to report and compliance with standards.

Energy Safety Canada Reference: SAC-PRO-057 and SAC-CFT-007

Alberta Government Reference: Standard 2.4

7.0 CATEGORIES OF PROGRAM SUPPORTING DOCUMENTS

7.1   Audit Protocol: Approval and Review

Audit instruments used to audit an employer health and safety management system for a COR or SECOR must meet the minimum requirements and be approved by the governing bodies.

The governing bodies will conduct a review of all health and safety audit instruments and quality assurance forms proposed for use by Energy Safety Canada. The review will be conducted to verify that the proposed document(s) meet the requirements of the governing bodies standards.

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A copy of approved audit instruments and quality assurance forms will be kept on file by the governing bodies.

Energy Safety Canada Reference: SAC-PRO-050
Alberta Government Reference: Standard 4.1 and Appendixes L1 and L2

7.2 Audit Sampling

There are many factors that must be considered in developing representative samples for audit interviews and work site sampling. It is important that the auditor conducts employee interviews and work site sampling that sufficiently represent the employer's workforce and operations covered by the scope of the audit.

All audits completed for certification or maintenance of COR, SECOR or MECOR must be completed using the same basic auditing principles and standards to ensure the integrity of the audit process and the credibility of audit results.

Energy Safety Canada Reference: SAC-PRO-051

Alberta Government Reference: Standard 2.1

7.3 Auditor Notes

The Energy Safety Canada COR and SECOR audit protocols require auditors to provide a note to justify the score assigned for each audit question. This allows the auditor to explain their rationale for the scores assigned, verifies whether or not the auditor followed audit guidelines in completing the audit process and adds value to the audit report for the employer.

Energy Safety Canada Reference: SAC-PRO-052

Alberta Government Reference: Standard 1.15

7.4 Verification Audit

A verification audit provides an independent review of key areas of an employer's health and safety management system to validate that 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.

Energy Safety Canada Reference: SAC-PRO-053

WSBC Reference: Standard

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7.5　Group Audit of Related Employers

There are cases where individually incorporated companies, each with their own WCB accounts, function as a singular entity in terms of ownership and control. Where these employers also share a single health and safety management system, they may be eligible to participate in a single, shared audit. It is important to note that while there may be efficiencies gained in a shared group audit, there is also a risk. A serious incident with any one of the employers could impact the COR status of all the related employers that were included in the original audit scope.

If a group of related employers meet the criteria laid out in the procedure (SAC-PRO-054), they may choose to be treated as the equivalent of a single employer with respect to their audit and audit requirements.

The initial audit for a group of related employers must always be a certification audit. Each individual employer in the group receives their own COR. In subsequent maintenance years, group members can pursue group or individual maintenance audits or options to maintain their individual COR certification. However, group members can never be added without a fresh external audit for certification.

Energy Safety Canada Reference: SAC-PRO-054

Alberta Government Reference: Standard 1.11

7.6　Standards for Audit Reviewers

The QA review helps Energy Safety Canada ensure all employers in the COR program receive accurate and high-quality audit reports. To deliver QA reviews that consistently meet this standard, Energy Safety Canada requires all of its audit reviewers to have sufficient education, training, and work experience.

Energy Safety Canada uses a combination of staff and consultant audit reviewers. Both of which require the combination of work experience, education and on-the-job training to carry out audit reviews.

Energy Safety Canada Reference: SAC-PRO-055

Alberta Government Reference: Standard 2.3

7.7　Certifying Partner Review

The governing bodies will conduct ongoing quality assurance audits on Energy Safety Canada.

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.

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.

Energy Safety Canada Reference: SAC-PRO-058

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Alberta Government Reference: Standard 10.5

7.8 Changing Certifying Partner

In order to obtain a COR/SECOR, an employer must select a CP from the list approved by the provincial governing body. Energy Safety Canada is the CP for Canada's upstream oil and gas industry. It is recommended that employers choose their CP based on industry alignment. However, any employer may make a request to change CPs at any time. This process may alter slightly depending on the provincial jurisdiction.

In British Columbia (BC), the governing body assigns employers to a CP based on industry type. Where questions arise concerning which CP is appropriate, the governing body will make a determination on the basis of 'natural alignment'.

Outside the province of BC, employers are free to choose any CP that is willing to provide certification services to them. There may be circumstances where employers have their COR/SECOR certification from one CP and wish to have Energy Safety Canada serve as their CP. Conversely, employers with COR/SECOR certification through Energy Safety Canada may wish to change their CP.

Energy Safety Canada Reference: SAC-PRO-059

Alberta Government Reference: Standard 3.10

7.9 Fraudulent Certificates

If an employer misrepresents their COR status in any way, they may face penalties imposed by the appropriate governing body, including the cancellation of any existing COR(s) held by the employer.

In certain cases, employers have been known to modify the expiry dates on their COR or create a counterfeit COR in order to bid for contracts. To maintain the integrity of the program, the governing bodies have committed to investigating incidents of employer modified CORs, as well as any other employer activities that involve misrepresentation of an employer's COR status, or eligibility for that status.

The governing bodies may impose specific penalties on an offending employer, including the cancellation of CORs for all accounts and industries under their ownership.

As a certifying partner, Energy Safety Canada has a responsibility to bring any occurrences of fraudulent certificates to the governing bodies' attention.

Energy Safety Canada Reference: SAC-PRO-060

Alberta Government Reference: Standard 3.12

7.10 Amendments to Certificates

This procedure outlines how an existing 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.

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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

Energy Safety Canada Reference: SAC-PRO-061

Alberta Government Reference: Standard 3.8

7.11 Maintenance of COR/SECOR List

Energy Safety Canada will maintain a list of employers who have a COR/SECOR on the Energy Safety Canada website. The list will be produced from current data and will be regularly updated by Energy Safety Canada.

Energy Safety Canada Reference: SAC-PRO-062

Alberta Government Reference: Standard 3.7

7.12 PIR Program Requirements (AB)

The governing bodies and Energy Safety Canada will work together to ensure the timely and accurate year-end processing of COR data through Certificate of Recognition Registry System (CORRS) to support the calculation of PIR incentives.

Government of Alberta departments do not participate in the PIR incentive program.

With the introduction of the CORRS system, Energy Safety Canada began entering the required audit data into the online CORRS system when audit reports are received, and quality assurance reviews are successfully completed.

The governing bodies conduct a quality assurance check on the data submitted by Energy Safety Canada. They use this data to compile a list of companies eligible for PIR refunds.

While all parties make every effort to ensure audit data for the previous calendar year is entered into the CORRS system by March 31, not all audits may be finalized by this date (as a result of on-going audit corrections, limited scope audits, etc.). In some cases, Energy Safety Canada may still be entering year-end audit results into CORRS as late as April or May of the following year.

Energy Safety Canada Reference: SAC-PRO-063

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Alberta Government Reference: Standard 9.1

7.13 Governing Body's Online System and Retention of Other COR Records

Energy Safety Canada must accurately enter all fields in the governing body's online system when processing audits and maintenance audit options. Energy Safety Canada must also retain relevant employer and auditor records that are not recorded in the governing body's online system for a minimum period of the current calendar year plus three prior years.

Energy Safety Canada must enter all the required information for all data fields in the governing body's online system so that audit data is complete and available for analysis of program trends, support the OSAR process, facilitate quality assurance audits of Energy Safety Canada by the governing body, and promote continuous improvement of the COR program.

While the governing body's online system is the central database for employer and audit records, other critical information is not recorded in the online system (e.g. employer training, auditor training and certification, refresher training, etc.). Energy Safety Canada must retain these records to facilitate inquiries from auditors and employers, to provide required data for the governing body's quality assurance audits, or to answer rebate inquiries from the governing body. Note that this procedure does not apply where specific requirements have been set for certain records (e.g. retention of audit reports).

Energy Safety Canada Reference: SAC-PRO-064

Alberta Government Reference: Standard 3.6

7.14 WorkSafeBC Rebate Requirements

The governing body in British Columbia (BC) and Energy Safety Canada work together to ensure the timely and accurate year-end processing of Certificate of Recognition (COR) data. This is through the WorkSafeBC (WSBC) online system (iCOR), to support WSBC offering COR holders a partial rebate of assessments.

The COR program in BC recognizes and rewards the implementation of health and safety management systems in occupational health and safety and return to work/injury management.

Because employers who implement such systems are exceeding the requirements of the Occupational Health and Safety Regulation of BC, WSBC offers them a partial rebate of assessments. Financial incentives are paid to employers who achieve COR certification and who are in good standing with WSBC.

Energy Safety Canada Reference: SAC-PRO-065

WorkSafeBC Government Reference: Standards and Guidelines

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7.15 Health and Safety Program Fee Structure

The management and administration of Energy Safety Canada's COR/ SECOR program is partially funded by oil and gas employers through their Workers' Compensation Board (WCB) premiums in Alberta and Saskatchewan. A similar WCB funding model is in place in British Columbia (BC) however this model is not related to the employer's industry type.

The companies that are funding the COR program through their WCB premiums are considered naturally "Aligned" with Energy Safety Canada.

Energy Safety Canada charges an annual fee to employers for COR related services. COR/SECOR fees are payable at the time of audit registration or audit submission in the case of SECOR assessor audits.

Energy Safety Canada Reference: SAC-PRO-066

7.16 Quality Customer Experience (QCE)

The Energy Safety Canada Safety Audits and Certification (SA&C) Department is committed to maintain standards of customer service for all stakeholders under the Certificate of Recognition program. The SA&C Quality Customer Experience (QCE) policy will ensure that all aspects of expected customer service are documented and controlled. These components are basic call components, call guides, QCE training, QCE grading and Staff QCE Declaration.

The Energy Safety Canada's SA&C will strive to provide customer service excellence for stakeholders that contact us.

Energy Safety Canada Reference: SAC-PRO-067, Appendix W1 Staff Quality Customer Experience Declaration, Appendix W2 Staff Quality Customer Experience Basic Call Components List, Appendix W3 Staff Quality Customer Experience Telephone & Email Etiquette, Appendix W4 Staff Quality Customer Experience Grading Template, Appendix W5 Staff Quality Customer Experience Training presentation and Appendix W1 Staff Quality Customer Experience Declaration

7.17 Stakeholder Complaints

As a Certifying Partner, Energy Safety Canada requires a process to receive, investigate, assess, and resolve stakeholder complaints regarding certification processes and decisions.

These stakeholders include employers who hold or are seeking COR/ SECOR certification, Energy Safety Canada certified auditors or those actively seeking auditor certification, provincial governing bodies, and the six industry trade associations to which Energy Safety Canada is accountable.

Energy Safety Canada Reference: SAC-PRO-069, COR Complaint Form

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7.18 Employer Review

The Employer Review process is currently undergoing a major change within the Alberta government. Employer Reviews procedures will be on hold until the Alberta government amends their standards.

Energy Safety Canada Reference: SAC-PRO-069

Alberta Government Reference: Standard 10.8

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