



# CERTIFICATE OF RECOGNITION AUDIT QUALITY ASSURANCE REVIEW

Effective Date: 2018 - 11 - 14  
Owned by: Safety Audits and Certification Department

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

Valid Until: 2021 - 11 - 14

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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 COR Audit Quality Assurance Review. 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

Certificate of Recognition (COR) audit reports must pass a quality assurance (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 standards for fully completed information, adequate and representative sampling, and the correct application of the auditing process.

Since there are some important difference in the COR and SECOR (**SAC-PRO-003**) QA review process, these have been addressed as distinct procedures.

**Energy Safety Canada Reference: SAC-MNL-001**

**Alberta Government Reference: 2.2**

### 1.2 Scope

Reviews of audit reports finished by a COR auditor verify that the submitted documentation is complete and ensure that the employer's Health and Safety Management System meets the minimum provincial standards for COR certification or maintenance.

### 1.3 Target Audience

The target audience for this document is all Energy Safety Canada personnel in any work location. This includes Employers and Auditors.

## 2.0 PROCEDURE

**2.1** Audit reports completed for certification or maintenance of a COR, or Energy Safety Canada Health and Safety Auditor Certification must successfully pass an Energy Safety Canada audit QA review before the audit report can be approved.

**2.1.1** Energy Safety Canada's COR Audit QA Review Form will be the document used to evaluate the quality of the audit report (**Appendix N: COR Audit Quality Assurance [QA] Review Form**).

- Where required, this Audit QA Review Form has been formally approved by the applicable governing bodies
- The Audit QA Review Form shall only be changed in consultation with those governing bodies

**2.1.2** To successfully pass an Energy Safety Canada QA review the auditor must achieve 100% on all critical criteria (2.2.5 below), and 80% overall.

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2.2.1 An Energy Safety Canada audit reviewer shall use the COR Audit QA Review Form to ensure:

- Critical data regarding the employer, auditor, and audit have been included in the audit report. This includes:
  - Employer name, address, contact name, phone number, and email
  - WCB account number(s) and industry code(s) covered by the audit
  - Auditor name, phone number, and certification number
  - Audit start date, last date on site and submission date
  - Type of audit (e.g., COR certification; COR maintenance; administrative audit; auditor qualification, etc.)
  - An Executive Summary, Organizational Chart, Company Profile, Document Review List, and a Pre-Audit Letter

2.2.2 Interview sampling standards have been met.

- Auditors have provided a detailed breakdown of the employer's total workforce according to WCB accounts and industry codes. This will include how many employees were interviewed from each category specifically: major departments, organizational level, and job positions.
- Auditors have provided a justification for their interview sampling

2.2.3 Worksite sampling standards have been met.

- Auditors have provided a detailed breakdown of all the employer's worksites within the scope of the audit, the type of activities conducted on the site and whether they were visited.
- Auditors have confirmed compliance with all standards related to worksite sampling.

2.2.4 The proper auditing process was followed, the appropriate protocol was used correctly, and that the auditor has produced a comprehensive and accurate audit report for the employer.

2.2.5 Critical criteria are any audit shortcomings that must be corrected by the auditor before the audit report is approved. These criteria include:

- Auditor notes must accurately answer the question according to the instructions
- Audit instructions must be applied correctly in responding to each question
- Audit scores must be accurately calculated and fully justified
- Contradictions between scoring, auditor notes, and/or recommendations within elements should not be found
- Contradictions between findings from one element to another should not be found

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- Key audit Strengths must be provided within the Executive Summary that are;
    - 1.1.1. Clear
    - 1.1.2. Company Specific
    - 1.1.3. Relevant
    - 1.1.4. Appropriate
  - For any question in which points were withheld, a Suggestion for Improvement must be provided, which;
    - 1.1.1. Describes the deficiency
    - 1.1.2. Provides a clear and actionable solution for each deficiency
    - 1.1.3. Describes the benefit of implementing the solution
    - 1.1.4. Is appropriate
  - A single Suggestion for Improvement, may cover multiple deficiencies within the same Topic.
  - The completed audit report must be professional in appearance with minimal grammar or spelling errors
- 2.1.2 Non-Critical criteria are scored but may not require correction if the QA review score meets the 80% overall minimum requirements. These criteria include:
- Validation techniques (documentation review, interview, observation) must be applied according to the audit guidelines. For example; validation techniques included in a response, which are outside the scope of the question.
  - Reports must include a listing of health and safety management system strengths, supported by company specific auditor notes, and presented according to the Energy Safety Canada audit report format.
  - Reports must include a list of company specific recommendations for improvement, supported by auditor notes and scoring, and presented according to the Energy Safety Canada audit report format.
- 2.1.3 Energy Safety Canada shall provide feedback to auditors as part of the audit QA review process. This feedback will outline the strengths of their report, identify required corrections, and, as applicable, recommend opportunities for improvement.
- 2.1.4 Energy Safety Canada shall provide auditors the opportunity to address any audit deficiencies identified in the audit QA review process. There are two critical deadlines associated with the audit correction process:
- Auditors must return a corrected audit within 15 days of receiving their audit QA review feedback.
  - The total timeline permitted for the audit QA review/audit correction process is 90 days from the auditors receiving their first audit QA review feedback.

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- 2.1.5 Energy Safety Canada shall inform both the employer and the auditor of the completion of the audit QA review process in writing. In this communication, Energy Safety Canada shall also inform the:
- Employer that they are to expect a final, approved version of the audit from their auditor.
  - Auditor that they are responsible to provide the employer with a final, approved version of the audit.
- 2.1.6 Energy Safety Canada shall not accept audit reports for certification or maintenance of certification purposes that fail to meet the quality standards applied in the audit QA review.
- 2.1.7 Both the employer and auditor will be informed of a decision by Energy Safety Canada to mark an audit report invalid that fails to pass the Energy Safety Canada audit QA review process.

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### 3.0 ROLES AND RESPONSIBILITIES

<p><b>Auditor</b></p>	<ul style="list-style-type: none"> <li>• Review <b>SAC-PRO-039: Outline of Roles and Responsibilities</b>, to ensure compliance with Energy Safety Canada’s program requirements</li> <li>• Be available to conduct the audit in its entirety</li> <li>• Audit report shortcoming must be completed by the auditor</li> <li>• Return a corrected audit within 15 days of receiving their audit QA review feedback</li> <li>• Responsible for providing the employer with a final, approved version of the audit</li> </ul>
<p><b>Employer</b></p>	<ul style="list-style-type: none"> <li>• Review <b>SAC-PRO-039: Outline of Roles and Responsibilities</b>, to ensure compliance with Energy Safety Canada’s program requirements</li> <li>• Have an active health and safety management system in place</li> <li>• Select a qualified Energy Safety Canada auditor who is available to conduct the audit in its entirety, from the registration process through to data gathering and report approval</li> <li>• Be informed of the completion of the audit QA review process in writing</li> <li>• Be informed of a decision by Energy Safety Canada to mark an audit report invalid that fails to pass the Energy Safety Canada audit QA review process</li> </ul>
<p><b>Energy Safety Canada</b></p>	<ul style="list-style-type: none"> <li>• Perform a Quality Assurance (QA) review on the submitted audit</li> <li>• Provide feedback to auditors as part of the audit QA review process</li> <li>• Provide auditors the opportunity to address any audit deficiencies</li> <li>• Shall inform both the employer and the auditor of the completion of the audit QA review process in writing</li> <li>• Shall inform both the employer and the auditor of a decision to mark an audit report invalid that fails to pass the audit QA review process</li> <li>• Shall not accept audit reports for certification or maintenance of certification purposes that fail to meet the quality standards</li> </ul>

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