CONDUCTING AN AUDIT TEAM AUDIT PROCEDURE

Effective Date: August 24, 2023
Owned by: Manager, Safety Audits & Certifications

Approval: 
Approved By: Manager, Safety Audits & Certifications
Valid Until: August 24, 2026
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

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Author(s)</th>
<th>Revision Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>August 15, 2023</td>
<td>Jennifer Koenig</td>
<td>New Document</td>
</tr>
</tbody>
</table>

⚠️ 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.

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jennifer Koenig</td>
<td>Audit Specialist</td>
</tr>
<tr>
<td>SA&amp;C Team</td>
<td>Subject Matter Experts (SME)</td>
</tr>
<tr>
<td>Juliet Goodwin</td>
<td>Manager, Safety Audits and Certifications</td>
</tr>
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1.0 CONDUCTING AN AUDIT – TEAM AUDIT

1.1 Navigating the Auditor Dashboard

Once the Employer and you (the Lead Auditor) have completed the audit registration phase, Energy Safety Canada completes a review of the audit registration and approves it. You are now ready to begin the audit.

1. Begin by navigating to the energysafeycanada.com website and click on the MY ACCOUNT or SIGN IN button located on the top right of the screen.

2. Next, enter your login credentials and password. Click on the SIGN IN button.

Current approved documents are maintained online. Printed copies are uncontrolled.
3. Once logged in, navigate to the left-hand side menu bar, click on the **AUDITOR PORTAL** menu option. From there, select the Auditor Dashboard.

   ![Auditor Portal Menu](image)

4. You are now on the COR Audit Dashboard page where you will see your Audit Registrations, Audit Registrations Submitted and Audits in Progress. Under “Audits in Progress” click on the **Go To Audit** button next to the audit line you wish to start - you are now ready to begin On Site activities.

   ![Audit Dashboard](image)
1.2 Company Details

You are now on the Company Details page. You will notice a table at the top of the page that indicates the following information:

- The audit #
- Audit Status: Registered
- Audit Start date
- Audit Due date (45 days for Data Gathering)
- Audit Scope (Updates after you complete Audit Details)
- Lead Auditor
- Certification Type

**NOTE:** this table will appear at the top of your screen throughout the audit software.

Below the table, you will see Company details information that includes:

- The Companies Legal Name
- The Street Address
- City
- Province
- Postal Code
- Phone number
- Company Profile

There will also be the COR Contact Details

- COR Contact Name
- COR Contact Email

You will also notice a “countdown clock” located on the top left of the screen indicating how many days are left for On Site activities as well as the audit due date (which is the 45 days, until you enter the last day on site, then it updates to the 21-day report writing due date).

Click the **NEXT** button to move to the Audit Details page.
1.3 Audit Details

You are now on the Audit Details page. Here you will see the following information displayed:

- The audit start date selected
  - **NOTE**: you are able to change this date if you are unable to start the audit on the date selected during the registration phase.
- Certificate Type: COR
- Audit Type:
  - This is pre-populated from information entered during the registration phase. If the wrong audit type was selected, you can change it here.
  - If you are unsure of the audit type, refer to Appendix B - Audit Types
- Audit Scope - you will need to select from the dropdown menu:
  - Full
  - Limited
- Will the auditor be using this audit as a student audit? (Yes/No - whichever was entered during the registration phase)
- Will the auditor be using this as a re-qualification audit? (Yes/No - whichever was entered during the registration phase)
- Is this a single audit covering multiple legal companies? (Yes/No - whichever was entered during the audit registration phase)

Next, you will need to answer the following questions by typing in the available text field:
1. List the areas (departments/operations/service lines) applicable at the time of the audit and those that were sampled? Indicate how this is representative of the Companies various operations and tasks performed.

2. How many years (months) has this company had an active health and safety management system in place?

3. If this company has shift work, indicate if all shifts included in the scope of the audit.

4. Describe how your interview sample was selected to include new hires and experienced employees.

**NOTE:** all fields must be filled out to move to the next step. Fields allow for a maximum of 4000 characters.

Click the **NEXT** button to move to the Site Sampling Summary entered during the audit registration phase).
1.4 (Sites) Sampling Summary

1.4.1 Lead Auditor

You are now on the Sampling Summary page. Review the sampling data displayed and ensure it is correct:

- Total employees
- Interviews Required
- Employees to be interviewed
- Total Sites
- Site Visits Required
- Sites Visited

**NOTE:** If any of the above data shows red in the table, the minimum number of required site visits or interviews has not yet been met.

You can review and edit which sites you will visit as well as how many interviews you will be completing per role and site.

1.4.2 To edit site data entered during the registration phase:

Begin by clicking on the **Edit** button next to the applicable site/location which will open a pop-up window.
In the pop-up window, confirm or enter the following data:

- Parent Company name

**NOTE:** If completing a single company audit, there will only be one parent company listed in the dropdown. If completing a multi-company audit, there will be multiple options to choose from.

- Site/Location

**NOTE:** Ensure your Site/Location description is clear if you have multiple sites/locations in the same area. For example, if all your sites/locations are in Calgary, ensure you can tell the difference: Calgary Head Office, Calgary Satellite Office, Calgary Shop, etc. When entering onsite activities for Documentation, Interviews and Observations locations only appear by site name so if you name everything the same you will not be able to differentiate sites.

- Province
- WCB#
- Industry Code
- Number of Workers
- Type (Field/Fixed/Head Office)
- Year of last audit (enter “NEVER” if not previously audited)
- Site Observations (Not Visiting/Site Visit Planned)
- Click the “visited” check box for any sites you’re planning on visiting - this will change the number of sites visited under the site sampling summary chart. If you see a red number under “sites visited” it is because you have not met the minimum requirements and will need to edit sites until sampling requirements are met.

**NOTE:** Any sites not checked off as visited, will not be available to enter interview data in. If you are not planning site visits but need to complete remote interviews, you MUST check off the visited box in order to enter interview data.

- Next, type the name of the Auditor that will be completing site observations and interviews for this site/location. Only enter one Auditor per site. (Auditor Name must have been included at Registration)

- Lastly, confirm the number of employees for each level and site as well as the number of employees to be interviewed per level that was previously entered. If you still see red numbers under “employees to be interviewed, you have not met the minimum interview requirements and will need to edit the interview numbers you entered until sampling requirements are met.

- Click the **SAVE** button to close the pop-up window

- Repeat this process until each site entered has been reviewed.
1.4.3 To enter site data that changed or was missed during the registration phase:

- Click the **Add New Site** button to repeat the steps above until all data has been entered per site(s).
- Click the **NEXT** button to move to the next step.
1.4.4 Team Auditor(s)

Team Auditor(s) will see the same information displayed on their Audit Details page as the Lead Auditor, except for the Finalize and Submit. This information was entered by the Lead Auditor during the registration phase. You can see which auditor is assigned to which site. If any data needs to be changed or added, follow the steps above to complete.

1.5 On Site Activity

You are now on the “On Site Activity” page where you can access Documents, Interviews and Observations tabs to begin collecting and entering field notes.

You can access any tab by either clicking on the blue tile in the middle of the screen:

- **DOCUMENTATION**
- **INTERVIEWS**
- **OBSERVATIONS**

OR by clicking on the tab located on the menu bar to the left of the screen.
1.5.1 Documentation

You are now on the Documentation main page. Under the Documentation title, you will see a table that lists all sites entered by:

- Site Name
- Site Type (HEAD/FIXED/FIELD)
- Status - will be “Not Started” for now.

**LEAD AUDITOR NOTE:** Only the Lead Auditor will see and have access to the Admin button located next to each site. The Admin button allows the Lead Auditor to see and review their Team Auditors Collective Comments and Scoring. The Lead Auditor will be the one to assign the correct % to be awarded for each site.

**TEAM AUDITOR NOTE:** Team Auditors will see and have access to the Edit button the same as the Lead Auditor.

1. Begin by clicking on the Edit button next to the site you would like to enter data for.
2. Confirm the site name in the top left of the screen is correct.
3. Confirm the question type: Documentation
4. Notice the status bar currently indicates “In Progress”.
5. To begin entering data, click your cursor in the documentation notes field for the question you would like to answer and begin typing or paste previously copied data into the field.
   a. You can access scoring guidance if needed by clicking on the down arrow to expand the field.
6. Next, select the appropriate score from the score drop down menu.
   a. You can scroll or type the score and hit enter.
7. Use the scroll bar on the right-hand side to move through the questions.
   a. Alternatively, you can click in the white space and use your mouse scroll.
**NOTE:** The new software requires that you **MUST** save regularly, or you will lose all data entered and will have to re-enter it. The **SAVE** button is located on the top right of the screen.

You also have the option to [Download Questions](#) (This will download a zipped folder of the Auditor Info Gathering Tools) if you will not have access to WIFI so that you can complete your documentation field notes and copy paste them into the audit tool at a later date.

You will also notice a **Clear Scores** button on the page. If you click the button, an additional pop-up window will appear asking you if you want to delete all scores for the current site. This will only clear the scores entered, not field notes entered. The “Clear Scores” is used if wrong scores were chosen throughout and is an easy way to clear all the scores, or if you needed to remove a site.
8. Once you have completed entering all of your documentation field notes, change the status from In Progress to Complete and click Save. If you change the status from “In Progress” to “Complete” and do not hit the save button before returning to the main document entry page, it will not save the status change and will appear as in progress still. A warning message will appear letting you know data may not be saved.

**NOTE:** You do not have to enter all field notes at once. You can enter what you have and come back at a later date by leaving the status to “In Progress”.

9. Click on the Audit Summary button on the top left of the screen to return to the main Document Entry page.

10. Here you will see the list of site(s) and the status of the documentation field notes entered to date:
   a. In Progress
   b. Complete
   c. Not Started

11. If there are multiple sites included in the audit scope, repeat the steps above until all field notes are entered and completed for each site.

12. Once all document field notes have been entered, click on the On Site Activity button located on the left hand side menu bar to navigate back to the On Site Activity main page.

Current approved documents are maintained online. Printed copies are uncontrolled.
Only the Lead Auditor will see and have access to the **Admin** button located next to each site. The Admin button allows the Lead Auditor to see and review their Team Auditors Collective Comments and Scoring.

Once the Team Auditor has completed their notes, they will appear on the Lead Auditors Admin Tab, as well as the score assigned. The Lead Auditor must then select the final score to be awarded for each question.

In the Formal Report writing area, the Lead Auditor can view comments or append the notes to see all auditors notes in order to edit and compile the final formal notes for the report.
1.5.2 Interviews

To begin entering interview notes, click on the “On Site Activity” tab located on the menu bar to the left of the screen.

1. Begin by clicking on the Interviews tab.

You are now on the Interview Summary main page where you will see an Interview Summary table and Interview List table that may or may not contain data depending if other auditors on the team have entered interview notes yet or not. As team auditors begin to enter data, you will notice an Interview list appear that will identify which interviews have taken place by site, role, auditor and progress.

2. To enter interview notes, click on the START NEW INTERVIEW button located in the middle of the right-hand side of your screen which will take you to a new screen where you will enter your field notes.
3. Next, select the applicable site from the “Sites” drop down menu you want to enter interviews for.
4. Confirm the question type: Interviews
5. Enter the number of interviewees for this site and role
6. Enter the Title (i.e., Operations Manager, Field Crew 1, Head Office Employees etc.)
7. Next select the applicable role from the “Role” dropdown menu:
   a. Senior Manager
   b. Middle Manager
   c. Supervisor
   d. Worker Full Time
   e. Worker Part Time
   f. Worker Casual
   g. Contractor
   h. Visitor
   i. Multi Role
8. Leave the “Status” dropdown menu as “In Progress” until all applicable interviews have been entered for this location and role.
9. Once all required fields are entered the applicable interview questions and text fields will appear.
10. To enter interview notes, click in the interview notes field next to the applicable question and begin typing.
11. To see scoring guidance, click on the down arrow to open.
12. Enter the correct Tally number of interviews completed - you can do this by manually typing the number in or by using the arrows to increase or decrease the total. The number of interviews you enter above creates the score tally when entering your field notes. You can manually change both the numerator and denominator if required.

**NOTE:** The new software requires that you MUST save regularly, or you will lose all data entered and will have to re-enter it. The **SAVE** button is located on the top right of the screen.
You also have the option to **Download Questions** if you will not have access to WIFI so that you can complete your interview field notes and copy paste them into the audit tool at a later date.

You will also notice a **DELETE** button on the page. If you click the button, an additional pop-up window will appear asking you if you want to delete this interview record. This will delete all interview notes and scores.

13. Once you have completed entering all of your interview notes, change the status from In Progress to Complete and click save.

    **NOTE:** You do not have to enter all interview notes at once. You can enter what you have and come back at a later date by leaving the status to “in Progress”.

14. Click on the Audit Summary button on the top left of the screen to return to the main Interview Entry page.

15. As you and other auditors from the team continue to enter interview notes, you will begin to see data appear under the Interview Summary table and Interview List indicating what has been completed so far and the status.

16. Repeat the steps above until all interviews for all locations and roles have been completed.

17. Once all interview notes have been entered, click on the On Site Activity button located on the left hand side menu bar to move to the On Site Activity main page.

    **NOTE:** Only the lead auditor will see all interview notes entered. Team auditors will only see the notes they’ve entered for the sites they’re assigned to.
1.5.3 Observation Tours

To begin entering observation notes, click on the “On Site Activity” tab located on the menu bar to the left of the screen.

1. Begin by clicking on the Observations tab.
You are now on the Observations main page, where you will see the Observations table that contains all sites entered during the registration phase that includes:

- Site Name
- Site Type (Head/Fixed/Field)
- Status (Not Started, In Progress, Complete)

To begin entering observation field notes:

1. Click on the **EDIT** button located next to the site you want to enter data for.

**LEAD AUDITOR NOTE:** Only the Lead Auditor will see and have access to the **Admin** button located next to each site and will see all notes entered by team auditors.

**TEAM AUDITOR NOTE:** Team Auditors will see and have access to the **Edit** button the same as the Lead Auditor but will only see field notes they enter.
2. Confirm the site location located on the top left of the screen.
3. Confirm the question type: Observations
4. To begin entering data, click your cursor in the observation notes field for the question you would like to answer and begin typing or paste previously copied data into the field.
   a. You can access scoring guidance if needed by clicking on the down arrow.
5. Next, select the appropriate score from the score drop down menu.
6. Use the scroll bar on the right-hand side to move through the questions.
NOTE: The new software requires that you MUST save regularly, or you will lose all data entered and will have to re-enter it. The **Save** button is located on the top right of the screen.

You also have the option to **Download Questions** (This will download a zipped folder of the Auditor Info Gathering Tools) if you will not have access to WIFI so that you can complete your documentation field notes and copy paste them into the audit tool at a later date. You will also notice a **Clear Scores** button on the page. If you click the button, an addition pop-up window will appear asking you if you want to delete all scores for the current site. This will only clear the scores entered, not field notes entered.

7. Once you have completed entering all of your observation field notes, change the status from In Progress to Complete and click save.

**NOTE:** You do not have to enter all field notes at once. You can enter what you have and come back at a later date by leaving the status to “In Progress”.

8. Click on the Audit Summary button on the top left of the screen to return to the main Observations entry page.

9. Repeat the steps above for each site that you complete observation tours for until all are entered and the status is complete.

10. Once all observation notes have been entered, click on the On-Site Activity button located on the left hand side menu bar to move to the On Site Activity main page.

11. When on the main Observations Entry page, you can see all sites listed and the status (Complete/Not Complete)
NOTE: Leave any sites you marked as “No Site Visit Planned” as “Not Started” and proceed to the next step.

1.5.4 Summary

To conclude your on-site activities and proceed to formal report writing, click on the “On Site Activity” tab located on the menu bar to the left of the screen.

1. Begin by clicking on Summary tab.
1. You will see a table that contains your Onsite Activity Summary.
2. Select the tab you would like to view data for.
3. Click on the side arrow to expand the element dropdown.
4. This allows you to take a quick look and ensure all questions have been scored and have had field notes entered before proceeding to the formal note writing step.
TEAM AUDITOR NOTE: This is the last step for a Team Auditor. The Lead Auditor will now finish the audit and submit it.

1.6 Audit Results
Once you have entered all documentation, interview and observation field notes, click on the Audit Results tab located on the left-hand side menu.

You will now see an “Onsite Activity Complete” title followed by a calendar that requires you to enter your last day on site.

1. Click on the calendar to select the last day you were onsite.

NOTE: This date can be changed later if something was missed (i.e., interview data or site observations)

2. Click the **MARK ONSITE ACTIVITY COMPLETE** button to proceed to the formal note writing stage.
3. On the Formal Report writing screen, you will now notice a new countdown clock that will show how many of the 21 days are left for report writing and the audit submission deadline.

4. Click on the **CALCULATE AUDIT RESULTS SUMMARY** button to refresh all audit scores and notes before beginning your formal note writing.

5. Next, click on the **Formal Report Writing** button to proceed with completing your audit report.
1.6.1 Formal Report Writing
You are now on the formal note writing section of the audit tool.

1. If you click the View Notes button it will open a pop-up window where you can see all documentation, interview and observation field notes entered. Click anywhere on the screen to automatically close the pop-up window.
Audit Summary

A. Management, Leadership and Organizational Commitment
   A.1. Company Health and Safety Policy

Topic Summary

A.2. Safety Responsibilities
A.3. Management Communications
B. Hazard Assessment
C. Hazard Control
D. Inspections
E. Qualification, Orientation and Training
F. Emergency Response
G. Incident Reporting and Investigation
H. System Administration

Does the company have a written health and safety policy that contains the following?
1. A reference to the company’s goals, aims, responsibilities for and/or commitment to health and safety,
2. A reference to addressing the health and safety (including physical, psychological, and social well-being) of employees,
3. A reference to management (senior and middle levels as applicable) responsibility,
4. A reference to supervisor responsibilities,
5. A reference to worker responsibilities,
6. The requirement to comply with government legislation,
7. The signature of the current most senior manager for the business units being audited, and
8. The date the policy was signed.

Findings/Notes:

Documentation Comments

— Gloria Dregger—
all criteria found
workers must follow or be subject to discipline

— Andrew Gibson—
Review of the Companies HSE Policy confirms there is a written Health and Safety policy that contains all eight criteria listed.

For example, the policy was signed by the current President and dated January 1, 2023.

Full points awarded, 100%.
2. If you click the **Append Notes** button, you are now able to turn your field notes into your formal report notes.
   a. When appending your field notes, ensure you delete auditor names from your formal notes. This is an auto populated feature of the tool that cannot be removed.
2. Click save once you’ve completed your formal notes.
3. Ensure you click on each category to open each question and Topic Summary.

4. On the Topic Summary page, you will enter any audit strengths and/or suggestion for improvement where required.
5. If you click on the Mark as Key Strength or Mark as Key Suggestion checkbox, the data entered will appear when you are appending your Executive Summary and you can select which you would like to include.
6. Click the **Save** button when you are finished appending your formal note to move on to the next.

7. Continue the steps above until you have appended all your formal notes for the final audit report.

8. Once all formal notes have been entered, click on the Audit Summary button on the top left to return to the Audit Results page.

1.7 **Finalize and Submit**

You are now back on the Audit Results page.

1. Click on the Finalize and Submit button located on the left-hand menu bar.
2. You are now on the Finalize and Submit Audit page.
3. As part of the audit, you are required to upload your pre-audit letter.
   a. Click the choose file button which will open up a browser window and allow you to choose the selected file.
   b. Click on the selected file and wait for it to upload.
4. Next, click on the **EDIT EXECUTIVE SUMMARY** button. A new pop-up window will open where you can now enter your Introduction, Key Strengths, Key Suggestions for Improvement and Closeout that will make up your executive summary in your printed report.
NOTE: If you scroll down slightly on this page, you will see any Strengths and Suggestions you had checked off during the formal report writing stage. Click the Add button to have the note auto-populate under Key Strengths and Key Suggestions for Improvement.

5. Click the **SAVE** button to save data.

NOTE: The following are no longer required for submission: Document List and Organizational Chart.

6. Next click on the **View Summary Report** button.
a. A pop-up window will open displaying your final audit report. You can scroll through the report and review it prior to submitting. The new audit report has a similar look and feel to the old software.
b. You can click on the download symbol in the top right corner to download a copy of your report or the print icon to print a copy.
c. Once you are happy with the report, click the x in the top right window to close the pop-up window.

7. If you are satisfied with your audit report, click the **SUBMIT AUDIT** button to submit.
1.8 COR Audit Submission

You are now on the COR Audit Submission page.

1. Click on the hyperlink to the Energy Safety Canada Auditor Code of Ethics to review.
2. Click on the checkbox that certifies you have read the Energy Safety Canada Code of Ethics and are in agreement.
3. Click the **SUBMIT** button to submit your audit.

**NOTE:** There is no longer the requirement to email in or upload a .pdf copy of the audit report.
Thank you for your Audit Submission

Thank you for your submission. Your audit information has been received by Energy Safety Canada and closed for review.

Your submitted audit will undergo a quality assurance (QA) review within approximately 2-3 weeks from the date of this notification. Please note that during Energy Safety Canada’s peak audit review season (November - January), estimated QA review times may extend slightly beyond the 2-3 week period.

Click on the **RETURN TO AUDIT DASHBOARD** button to return to your audit dashboard.

Thank you for your Submission

Thank you for your submission. Your audit information has been received by Energy Safety Canada and closed for review.

Your submitted audit will undergo a quality assurance (QA) review within approximately 2-3 weeks from the date of this notification. Please note that during Energy Safety Canada’s peak audit review season (November - January), estimated QA review times may extend slightly beyond the 2-3 week period.

**RETURN TO AUDIT DASHBOARD**
## APPENDIX A: DEFINITIONS

The following table outlines common terms and definitions found throughout this procedure.

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>External Auditor</td>
<td>An auditor certified through Energy Safety Canada that can complete both internal or external maintenance and certification audits.</td>
</tr>
<tr>
<td>Field Site</td>
<td>A worksite located outside. A site where field work is carried out.</td>
</tr>
<tr>
<td>Fixed Site</td>
<td>A Fixed Site means a single physical location where business is conducted or where services or industrial operations are performed.</td>
</tr>
<tr>
<td>Full Scope Audit</td>
<td>Is a representative sampling of all operations covered under the provincial jurisdiction the employer would like to obtain a COR for.</td>
</tr>
<tr>
<td>Head Office Site</td>
<td>The headquarters of an organization as it relates to the jurisdiction being audited.</td>
</tr>
<tr>
<td>Internal Auditor</td>
<td>An auditor that has been trained to conduct internal maintenance audits on behalf of the company they work for.</td>
</tr>
<tr>
<td>Parent Company</td>
<td>A parent company is a single company that has a controlling interest in another company or companies.</td>
</tr>
<tr>
<td>Legal Company Name</td>
<td>The legal name of your company (not operating name). It can be a word name or a numbered name (i.e., 123456 Alberta Ltd.)</td>
</tr>
<tr>
<td>Limited Scope Audit</td>
<td>A limited scope audit is when the score of a certification audit falls between 70% - 79% and the employer has eligible corrective actions they can fix and re-audit within an applicable timeframe to reach the passing score of 80%. It can also be if a specific element of an audit falls below 50% and the employer has eligible corrective actions they can fix and re-audit within an applicable timeframe to reach the passing score of 50% for that element.</td>
</tr>
</tbody>
</table>
## APPENDIX B: AUDIT TYPES

The following table outlines the various audit types you will see in the dropdown menu when registering your audit.

<table>
<thead>
<tr>
<th>Audit Type</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>External Auditor for SECOR Certification or Maintenance</td>
<td>A Small employer hires an ESC External auditor to complete the small employer audit for either certification or maintenance of a SECOR.</td>
</tr>
<tr>
<td>Limited Scope Action Plan</td>
<td>The action plan that is developed in consultation with the employer following the submission of a failed audit between 70% - 79%.</td>
</tr>
<tr>
<td>Limited Scope Final Submission</td>
<td>The re-audit that is completed by an ESC Certified auditor on the areas outlined in the limited scope action plan.</td>
</tr>
<tr>
<td>On-Site Audit Review (OSAR)</td>
<td>A governing body-initiated audit or CP initiated audit.</td>
</tr>
<tr>
<td>Single Audit for Multiple Companies Certification or Maintenance</td>
<td>An employer that has multiple legal entities commonly owned and chooses to conduct 1 audit on all legal entities to achieve or maintain a COR or SECOR for all entities.</td>
</tr>
<tr>
<td>Site Specific Audit Certification or Maintenance</td>
<td>An employer that chooses to audit only a specific site under the legal entity and is not auditing a representative sampling of their WCB account number or industry code. The audit would be for COR Certification or maintenance of that specific site only. This type of audit is not eligible for WCB Incentives.</td>
</tr>
<tr>
<td>Standard Audit Certification or Maintenance</td>
<td>An employer that audits a representative sampling of employees and worksites that fall under the WCB account number and industry code. The audit would be for COR Certification or Maintenance.</td>
</tr>
<tr>
<td>Student Maintenance Audit</td>
<td>A student auditor who has just completed the ESC 5 Day Certificated Health &amp; Safety Audit program and is completing their practicum audit to count as their</td>
</tr>
<tr>
<td>Category</td>
<td>Description</td>
</tr>
<tr>
<td>----------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Student Qualification</td>
<td>A student auditor who has just completed the ESC 5 Day Certificated Health &amp; Safety Audit program and is completing their practicum audit to count as their qualification audit for auditor certification.</td>
</tr>
<tr>
<td>Team Audit Certification or Maintenance</td>
<td>A team of one or more ESC Certified auditors that has been approved to complete a team audit for COR Certification or maintenance.</td>
</tr>
<tr>
<td>Team Audit Certification or Maintenance</td>
<td>A team of one or more ESC Certified auditors that has been approved to complete a team audit for COR Certification or maintenance for an employer that has more than one entity but are commonly owned.</td>
</tr>
<tr>
<td>Verification Audit</td>
<td>A governing body-initiated audit or CP initiated audit.</td>
</tr>
</tbody>
</table>
APPENDIX C: AUDIT CERTIFICATE TYPES

The following table outlines the various certificate types available to both large and small employers.

<table>
<thead>
<tr>
<th>Certificate Type</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Year COR</td>
<td>Less than 1 year of safety documentation available.</td>
</tr>
<tr>
<td>1 Year SECOR</td>
<td>Less than 1 year of safety documentation available.</td>
</tr>
<tr>
<td>6 Month COR</td>
<td>This is an administrative audit where the employer does not have any active fields sites to audit. Not eligible for BC Program</td>
</tr>
<tr>
<td>COR</td>
<td>Large employer with 11 or more employees.</td>
</tr>
<tr>
<td>SECOR</td>
<td>Small employer with 10 or less employees.</td>
</tr>
</tbody>
</table>