



# CONDUCTING AN AUDIT TEAM AUDIT PROCEDURE

Effective Date: August 24, 2023

Owned by: Manager, Safety Audits & Certifications

Approval: *Juliet Goodwin*

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

Version	Date	Author(s)	Revision Notes
1.0	August 15, 2023	Jennifer Koenig	New Document

 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
Jennifer Koenig	Audit Specialist
SA&C Team	Subject Matter Experts (SME)
Juliet Goodwin	Manager, Safety Audits and Certifications



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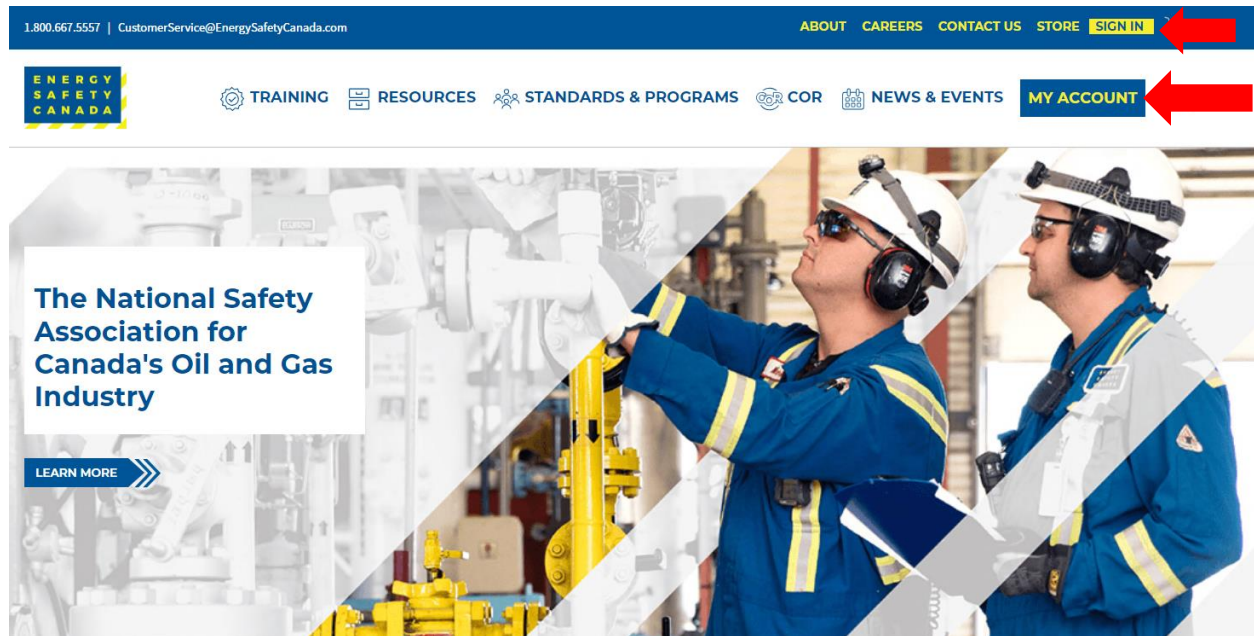
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## 1.0 CONDUCTING AN AUDIT – TEAM AUDIT

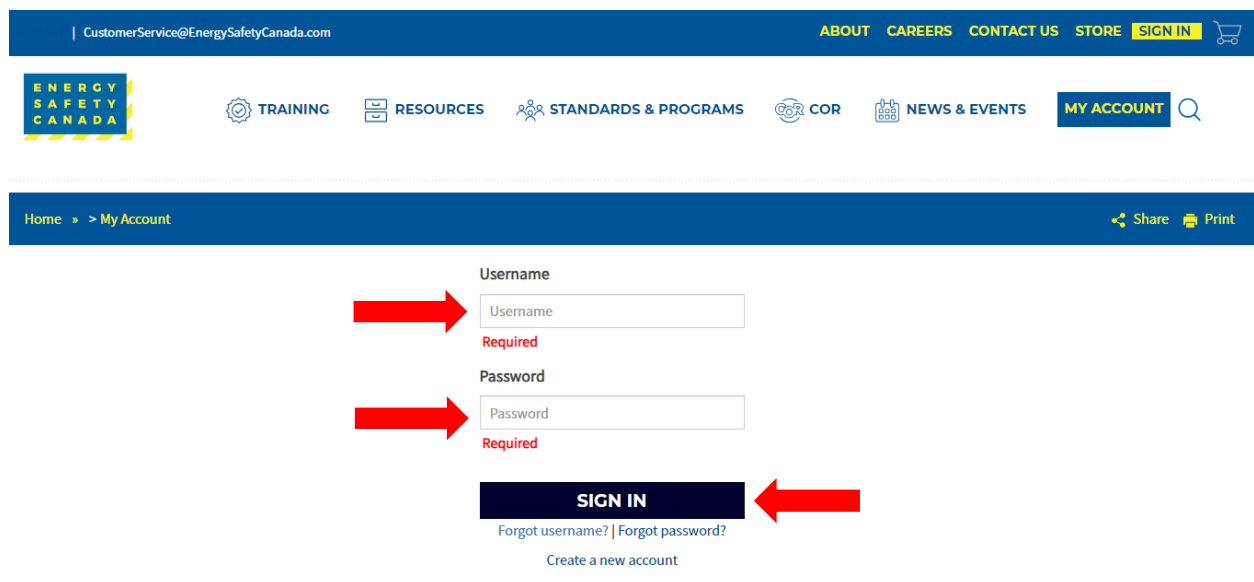
### 1.1 Navigating the Auditor Dashboard

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.

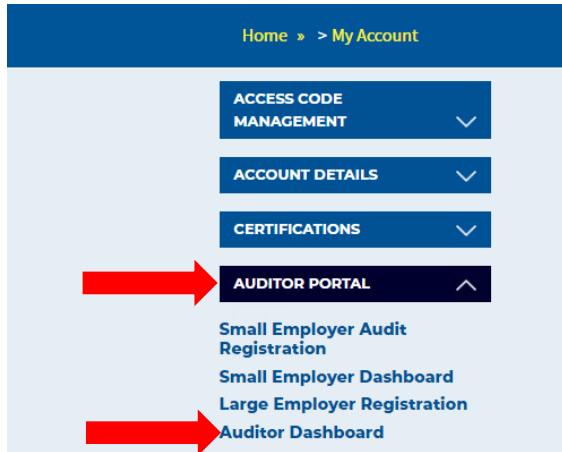
1. Begin by navigating to the [energysafecanada.com](http://energysafecanada.com) website and click on the **MY ACCOUNT** or **SIGN IN** button located on the top right of the screen.



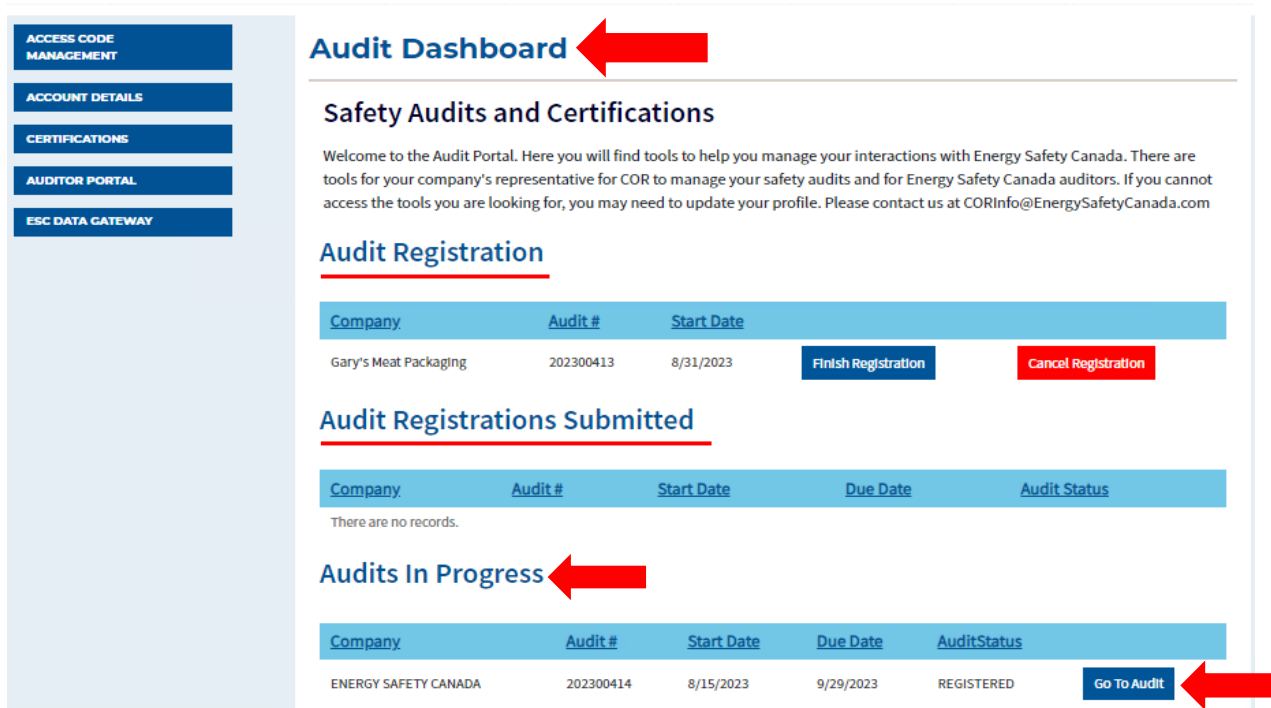
2. Next, enter your login credentials and password. Click on the **SIGN IN** button.



- Once logged in, navigate to the left-hand side menu bar, click on the **AUDITOR PORTAL** menu option. From there, select the Auditor Dashboard.



- 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.





## 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

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300416	REGISTERED	8/15/2023	9/29/2023	

Lead Auditor	Cert Type
Wendy Glover	COR

**Company Details**

Company Legal Name: ENERGY SAFETY CANADA  
 Street Address: 150 - 2 SMED LANE SE  
 City: CALGARY  
 Province: AB  
 Postal Code: T2C 4T5  
 Phone: (403) 516-8000  
 Company Profile: Energy Safety Canada is the national safety association for the oil and gas industry.

**45 Days**  
Audit is Due on Friday, September 29, 2023

**Navigation:** Audit Dashboard, **Company Details**, Audit Details, Sites, On Site Activity, Audit Results, Finalize and Submit, **NEXT**

### 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, indicated 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).

### Audit Details

Audit Start Date	<input type="text" value="8/15/2023"/>		
Certificate Type	COR		
Audit Type	<input type="text" value="Team Audit Maintenance"/>		
Audit Scope	<input type="text" value="Full"/>		
Will the Auditor be using this as a student audit?	No		
Will the Auditor be using this as a re-qualification audit?	No		
Is this a single audit covering multiple legal companies?	No		

### Justification Questions

\*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.

<input type="text"/>	4000 characters left	
----------------------	----------------------	--

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

<input type="text"/>	4000 characters left	
----------------------	----------------------	--

\*If this company has shift work, indicated if all shifts included in the scope of the audit.

<input type="text"/>	4000 characters left	
----------------------	----------------------	--

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

<input type="text"/>	4000 characters left	
----------------------	----------------------	--

**NEXT**



## 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.



- Audit Dashboard
- Company Details
- Audit Details
- Sites**
- On Site Activity
- Audit Results
- Finalize and Submit

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

### Sampling Summary

Total Employees	Interviews Required	Employees to be Interviewed	Total Sites	Site Visits Required	Sites Visited
110	23	23	2	2	2

### Sites

Parent Company	Site/Location	Province	Type	Visited?	Auditor(s)	
ENERGY SAFETY CANADA	Head Office Calgary	AB	Head Office	Yes	Andy Gibson	<a href="#">Edit</a>
ENERGY SAFETY CANADA	Calgary Shop	AB	Fixed	Yes	Gloria Dregger	<a href="#">Edit</a> <span style="color: red;">✘</span>

[Add New Site](#)

Please complete your site sampling details by clicking the "Edit" button beside the site before proceeding.

**NEXT**



- 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.

Parent Company: ENERGY SAFETY CANADA  
 Site/Location: Head Office Calgary  
 Province: Alberta  
 WCB #: AB1234567  
 Industry Code: 1234  
 No. of Workers: 100  
 Type: Head Office  
 Year of Last Audit: 2022  
 Site Observations: Site Visit Planned  
 Visited:   
 Auditor(s): Andy Gibson

Senior Manager: 5  
 Middle Manager: 10  
 Supervisor: 15  
 Worker Full Time: 70  
 Worker Part Time: 0  
 Worker Casual: 0  
 Contractor: 0  
 Visitor: 0  
 Multi Role: 0

Total: 5, 10, 15, 70, 0, 0, 0, 0, 0, 0  
 To be interviewed: 2, 2, 3, 12, 0, 0, 0, 0, 0, 0

**CANCEL SAVE**

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.



ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

- Audit Dashboard
- Company Details
- Audit Details
- Sites**
- On Site Activity
- Audit Results
- Finalize and Submit

Sampling Summary

Total Employees	Interviews Required	Employees to be Interviewed	Total Sites	Site Visits Required	Sites Visited
110	23	23	2	2	2

Sites

Parent Company	Site/Location	Province	Type	Visited?	Auditor(s)	Edit	X
ENERGY SAFETY CANADA	Head Office Calgary	AB	Head Office	Yes	Andy Gibson	<b>Edit</b>	<b>X</b>
ENERGY SAFETY CANADA	Calgary Shop	AB	Fixed	Yes	Gloria Dregger	<b>Edit</b>	<b>X</b>

**Add New Site**

Please complete your site sampling details by clicking the "Edit" button beside the site before proceeding.

**NEXT**

### 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.



- [Audit Dashboard](#)
- [Company Details](#)
- [Audit Details](#)
- [Sites](#)
- [On Site Activity](#)

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

#### Sampling Summary

Total Employees	Interviews Required	Employees to be Interviewed	Total Sites	Site Visits Required	Sites Visited
110	23	23	2	2	2

#### Sites

Parent Company	Site/Location	Province	Type	Visited?	Auditor(s)		
ENERGY SAFETY CANADA	Head Office Calgary	AB	Head Office	Yes	Andy Gibson	<a href="#">Edit</a>	✖
ENERGY SAFETY CANADA	Calgary Shop	AB	Fixed	Yes	Gloria Dregger	<a href="#">Edit</a>	✖



[Add New Site](#)

Please complete your site sampling details by clicking the "Edit" button beside the site before proceeding.

[NEXT](#)

### 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.

**45** Days  
*Audit is Due on Friday,  
September 29, 2023*

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

- ◀ Audit Dashboard
- ✎ Company Details
- ✎ Audit Details
- ✎ Sites
- ✎ On Site Activity**
- ✎ Documents
- ✎ Interviews
- ✎ Observations
- ✎ Summary
- ✎ Audit Results
- ✎ Finalize and Submit

### On Site Activity

**DOCUMENTATION** ←

**INTERVIEWS**

**OBSERVATIONS**



#### 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.



- [Audit Dashboard](#)
- [Company Details](#)
- [Audit Details](#)
- [Sites](#)
- [On Site Activity](#)
- [Documents](#)

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

### Documentation

Site Name	SiteType	Status	Admin	Edit
Head Office Calgary	HEAD	Not Started	Admin	Edit
Calgary Shop	FIXED	Not Started	Admin	Edit

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.

The screenshot shows the audit software interface. At the top left, there is a navigation menu with 'Audit Summary' selected. Below it, the site name 'Head Office Calgary' is circled in red. To the right, the 'Question Type' is set to 'Document', also circled in red. Further right is a 'Download Questions' button. Below these are buttons for 'Clear Scores' and 'Save'. A status dropdown menu is set to 'In Progress', with a red arrow pointing to it. The main content area is divided into three columns: 'Question', 'Documentation Notes', and 'Tally'. The 'Question' column contains question A1A with a list of eight criteria and a 'Scoring Guidance' section. A red arrow points to the 'Scoring Guidance' section. The 'Documentation Notes' column contains a text box with the following content: '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%.' A red arrow points to this text box. The 'Tally' column shows a score of 100, with a red arrow pointing to it. A vertical scroll bar is visible on the right side of the 'Tally' column.

**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.

The screenshot shows the top navigation bar with an 'Audit Summary' button on the left. Below it, the site is identified as 'Head Office Calgary'. The 'Question Type' is set to 'Document'. A 'Download Questions' button is on the right. In the center, a 'Status' dropdown menu is currently set to 'In Progress'. To its right are two buttons: a red 'Clear Scores' button and a blue 'Save' button. Below this is a table with columns for 'Question', 'Documentation Notes', and 'Tally'. The first row shows question 'A1A' with a description: 'Does the company have a written health and safety policy that...'. The 'Documentation Notes' field is empty, and the 'Tally' is 'N/A'.

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.

This screenshot is similar to the previous one but shows the 'Status' dropdown menu open, with 'Completed' selected. The 'Save' button is now highlighted in blue. The 'Documentation Notes' field for question 'A1A' now contains the text: '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%.' The 'Audit Summary' button in the top left is also highlighted with a red arrow.

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.





ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

- [Audit Dashboard](#)
- [Company Details](#)
- [Audit Details](#)
- [Sites](#)
- [On Site Activity](#)
- [Audit Results](#)
- [Finalize and Submit](#)

### Documentation

Site Name	SiteType	Status	Admin	Edit
Head Office Calgary	HEAD	Complete	Admin	Edit
Calgary Shop	FIXED	In Progress	Admin	Edit

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.

[Audit Summary](#)

site: [Calgary Shop](#) Question Type: Document [Download Questions](#)

Status: In Progress [Clear Scores](#) [Save](#)

Question	Notes	Gloria D. Completed	Final Score
A1A 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.	<p><a href="#">Gloria Dregger</a> all criteria found workers must follow or be subject to discipline same</p> <p><a href="#">Andrew Gibson</a> Review of the Companies HSE Policy confirms there is a written Health and Safety policy that contains all eight criteria listed.</p>	100	N/A

### 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.

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

**On Site Activity**

- Audit Dashboard
- Company Details
- Audit Details
- Sites
- On Site Activity**
- Documents
- Interviews
- Observations

DOCUMENTATION

**INTERVIEWS**

OBSERVATIONS

You are now on the Interview Summary main page where you will see an Interview Summary table and Interview List table that may/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.



- [Audit Dashboard](#)
- [Company Details](#)
- [Audit Details](#)
- [Sites](#)
- [On Site Activity](#)**
- [Documents](#)
- [Interviews](#)**
- [Observations](#)
- [Summary](#)
- [Audit Results](#)
- [Finalize and Submit](#)

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR



### Interview Summary

Site Name	Senior Manager	Middle Manager	Supervisor	Worker Full Time	Worker Part Time	Worker Casual	Contractor	Visitor	Multi Role
	0	0	0	0	0	0	0	0	0

### Interview List

Site	Role	Auditor	Status
There are no records.			

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.

**Audit Summary**

Sites: [Dropdown]

Number of interviews: [Input: 1]

Title: [Input]

Question Type: Interview

Role: [Dropdown]

Status: In Progress

Buttons: Download Questions, Delete, Save

Question	Interview Notes	Tally
Select a Role to see questions.		

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.

**Audit Summary**

Sites: Head Office Calgary

Number of interviews: 15

Title: Calgary Head Office Work

Question Type: Interview

Role: Worker Full Time

Status: Completed

Buttons: Download Questions, Delete, Save

Question	Interview Notes	Tally
<p><b>A1B</b></p> <p>Are employees made aware of the health and safety policy through some form of distribution of the policy?</p> <p>Scoring Guidance</p> <p><b>Verified through Interviews</b></p> <p>Interview employees to determine if they are aware of how the company makes the health and safety policy available to employees.</p> <p>Points awarded based on the % of positive responses.</p> <p>Provide details/example(s).</p>	<p>Yes - paper copy - 10</p> <p>Yes - posted on wall - 2</p> <p>I'm not sure - 1</p> <p>No - 2</p>	<p>12</p> <p>15</p>

**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.

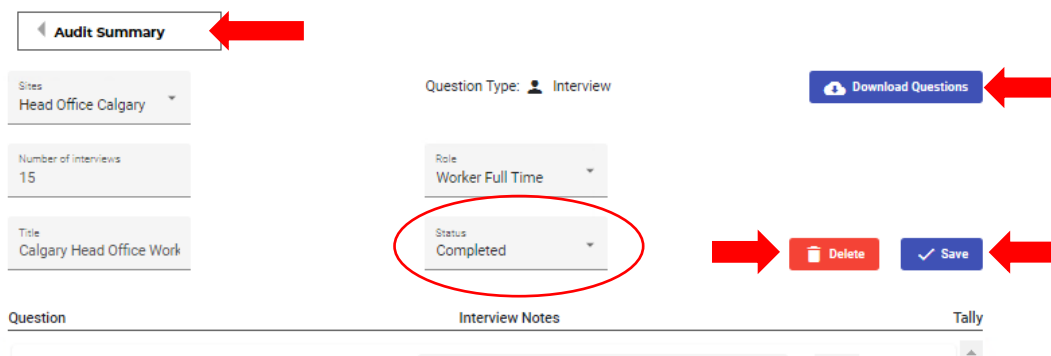
You also have the option to **Download Questions** if you will not have access to WIFI so that you can complete your interview field notes and copy paste them into the audit tool at a later date.

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.

**44** Days  
*Audit is Due on Friday,  
September 29, 2023*

- ◀ Audit Dashboard
- 🔧 Company Details
- 🔧 Audit Details
- 🔧 Sites
- 🔧 On Site Activity** ←
- 🔧 Documents
- 🔧 Interviews**
- 🔧 Observations
- 🔧 Summary
- 🔧 Audit Results
- 🔧 Finalize and Submit

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

**START NEW INTERVIEW**

### Interview Summary

Site Name	Senior Manager	Middle Manager	Supervisor	Worker Full Time	Worker Part Time	Worker Casual	Contractor	Visitor	Multi Role
Head Office Calgary	0	2	0	20	0	0	0	0	0
	0	2	0	20	0	0	0	0	0

### Interview List

Site	Role	Auditor	Status	
Head Office Calgary	Worker Full Time	Andrew	Complete	<b>Edit</b>
Head Office Calgary	Middle Manager	Andrew	In Progress	<b>Edit</b>
Head Office Calgary	Worker Full Time	Gloria	Complete	<b>Edit</b>

### 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.



ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300416	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Wendy Glover	COR

- ← Audit Dashboard
- ✎ Company Details
- ✎ Audit Details
- ✎ Sites
- ✎ On Site Activity
- ✎ Documents
- ✎ Interviews
- ✎ Observations
- ✎ Summary

### On Site Activity

- DOCUMENTATION
- INTERVIEWS
- OBSERVATIONS



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.

**44** Days  
Audit is Due on Friday,  
September 29, 2023

- ← Audit Dashboard
- 🔍 Company Details
- 🔍 Audit Details
- 🔍 Sites
- 🔍 On Site Activity**
- 🔍 Documents

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

**Observations**

Site Name	SiteType	Status	Admin	Edit
Head Office Calgary	HEAD	Not Started	Admin	Edit
Calgary Shop	FIXED	Not Started	Admin	Edit

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.

← Audit Summary

site: Head Office Calgary      Question Type: 🐞 Observation      Download Questions

Status: In Progress      Clear Scores      Save

Question	Observation Notes	Tally
<p>A1B</p> <p>Are employees made aware of the health and safety policy through some form of distribution of the policy?</p> <p>Scoring Guidance </p> <p><b>Verified through Observations</b></p> <p>Use the interview findings to establish where the policy should appear in the workplace. Confirm the policy appears or is made available in these locations.</p> <p>Points are awarded based on the % of locations the policy was available.</p> <p>Provide details/examples.</p>	<p>posted near front door available electronically</p>	<p>N/A</p> <p>100</p> <p>99</p> <p>98</p> <p>97</p> <p>96</p> <p>95</p>



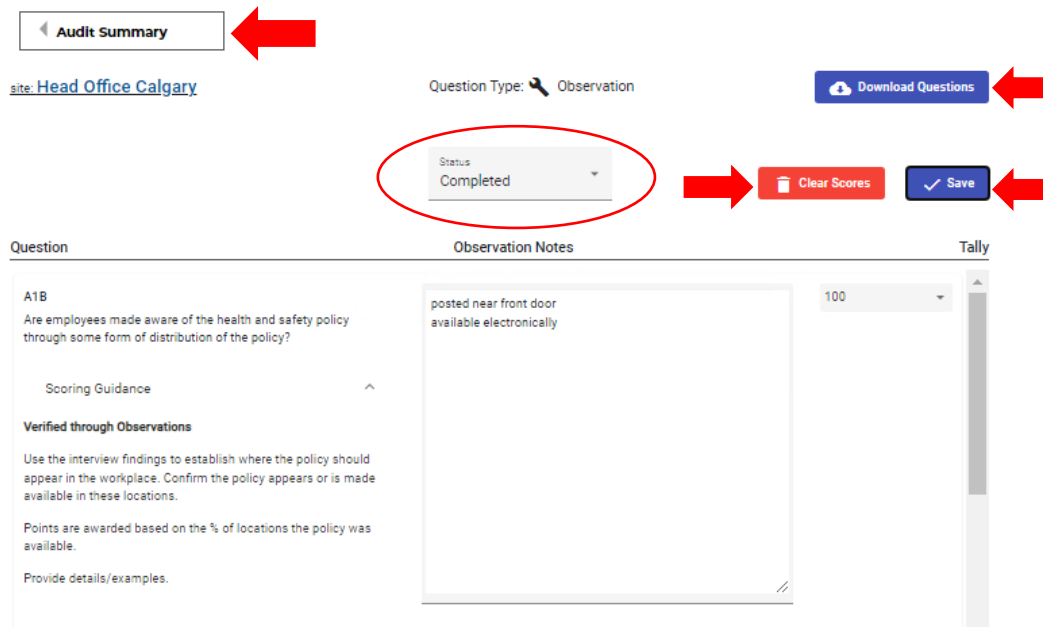
**NOTE:** The new software requires that you MUST save regularly, or you will lose all data entered and will have to re-enter it. The **SAVE** button is located on the top right of the screen.

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.



The screenshot shows the software interface for conducting an audit. At the top left, there is a button labeled "Audit Summary" with a left-pointing arrow. To its right, the site name "Head Office Calgary" is displayed. Further right, the "Question Type" is set to "Observation". On the top right, there is a blue button labeled "Download Questions". Below these, a "Status" dropdown menu is set to "Completed" and is circled in red. To the right of the status dropdown are two buttons: a red "Clear Scores" button and a blue "Save" button with a checkmark. Red arrows point to each of these buttons. The main content area is divided into three columns: "Question", "Observation Notes", and "Tally". The "Question" column contains question A1B: "Are employees made aware of the health and safety policy through some form of distribution of the policy?". The "Observation Notes" column contains the text "posted near front door available electronically". The "Tally" column shows a score of 100.

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.



ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300416	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Wendy Glover	COR

- Audit Dashboard
- Company Details
- Audit Details
- Sites
- On Site Activity
- Audit Results
- Finalize and Submit

### Observations

Site Name	SiteType	Status	
Head Office Calgary	HEAD	Complete	Edit
Calgary Shop	FIXED	Not Started	Edit

#### 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.

- Begin by clicking on Summary tab.



**45** Days  
*Audit is Due on Friday,  
September 29, 2023*

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300416	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Wendy Glover	COR

- Audit Dashboard
- Company Details
- Audit Details
- Sites
- On Site Activity**
- Documents
- Interviews
- Observations
- Summary
- Audit Results
- Finalize and Submit

### On Site Activity

- DOCUMENTATION
- INTERVIEWS
- OBSERVATIONS



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.



ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300416	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Wendy Glover	COR

- [Audit Dashboard](#)
- [Company Details](#)
- [Audit Details](#)
- [Sites](#)
- [On Site Activity](#)
- [Documents](#)
- [Interviews](#)
- [Observations](#)
- [Summary](#)
- [Audit Results](#)
- [Finalize and Submit](#)

### Onsite Activity Summary



Documents Summary | Interviews Summary | Observations Summary

Element	Title	
A	Management, Leadership and Organizational Commitment <span style="float: right;">▼</span>	
Question	Result	Comments
A1A	50%	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%.
A2A	50%	Review of the companies HSE responsibilities confirms responsibilities have been developed for each applicable employee level within the company. For example, employees must follow all HSE rules while at work. Full points awarded, 100%.



**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.



- [Audit Dashboard](#)
- [Company Details](#)
- [Audit Details](#)
- [Sites](#)
- [On Site Activity](#)
- [Audit Results](#)**
- [Finalize and Submit](#)

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/29/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

### Onsite Activity Complete

Enter the last day on site and click the button below to mark your Onsite Activity complete.

Last Day On Site



**MARK ONSITE ACTIVITY COMPLETE**



### Audit Results

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.



ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/6/2023	Full

Lead Auditor	Cert Type
Andrew Gibson	COR

- Audit Dashboard
- Company Details
- Audit Details
- Sites
- On Site Activity
- Audit Results**
- Finalize and Submit

You are ready to do your formal report writing.

**Formal Report Writing**

### Audit Results

**CALCULATE AUDIT RESULTS SUMMARY**

Element	Title	Score	Result
A	Management, Leadership and Organizational Commitment	18/101	18%

Topic Identifier	Topic	Score	Result
A1	Company Health and Safety Policy	18/27	67%

### 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

A1. Company Health and Safety Policy

A.1a **View Notes** **Append Notes**

D 100% 8/8  
I  
O  
Total: 8/8

Mark for follow up

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) responsibilities,
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:

**Save**

**View Notes**

Documentation Comments

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

~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.

The screenshot shows the audit tool interface. On the left is a sidebar with a tree view of categories: A. Management, Leadership and Organizational Commitment; A1. Company Health and Safety Policy; A.1a; A.1b; Topic Summary; A2. Safety Responsibilities; A3. 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; I. Other Affected Parties; J. Joint Health and Safety Committee and Representative. A red arrow points to the 'Append Notes' button in the main content area. Another red arrow points to the 'Append Notes' button in the sidebar. The main content area displays question A.1a: 'Does the company have a written health and safety policy that contains the following?' with a list of 8 criteria. Below the question is a 'Findings/Notes' section with a text area containing documentation comments from Gloria Dregger and Andrew Gibson. A 'Save' button is visible at the bottom right of the main content area. At the bottom of the page, there is a 'Guidelines' section titled 'Verified through Documentation Review' with instructions on how to review the policy and provide details.

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.

The screenshot shows the 'Audit Summary' page. At the top left, there is a button labeled 'Audit Summary' with a red arrow pointing to it. Below this is a sidebar menu with the following items: A. Management, Leadership and Organizational Commitment; A1. Company Health and Safety Policy; A.1a; A.1b; Topic Summary (highlighted with a red arrow); A2. Safety Responsibilities; A3. 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; I. Other Affected Parties; J. Joint Health and Safety Committee and Representative. The main content area is titled 'A1 Topic Summary' and contains a 'Topic Summary' table with the following data:

Total Points Awarded	26
Total Points Available	27
Total Points Not Applicable	0
Overall Percent Awarded	96%

Below the table are two sections: 'Strengths' and 'Suggestions For Improvement'. Each section has a checkbox labeled 'Mark as Key Strength' and 'Mark as Key Suggestion' respectively, both circled in red. A red arrow points to the 'Mark as Key Strength' checkbox. Below the 'Suggestions For Improvement' section, there is a blue 'Save' button with a checkmark, also circled in red and pointed to by a red arrow.

## 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.

- [Audit Dashboard](#)
- [Company Details](#)
- [Audit Details](#)
- [Sites](#)
- [On Site Activity](#)
- [Audit Results](#)
- [Finalize and Submit](#)

You are ready to do your formal report writing.

## Formal Report Writing

### Audit Results

**CALCULATE AUDIT RESULTS SUMMARY**

Element	Title	Score	Result
	Management, Leadership and Organizational Commitment	30/101	30%

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.

- [Audit Dashboard](#)
- [Company Details](#)
- [Audit Details](#)
- [Sites](#)
- [On Site Activity](#)
- [Audit Results](#)
- [Finalize and Submit](#)

## Finalize And Submit Audit

**Pre Audit Letter**  
Upload your pre-audit letter here

Browse for file

**EDIT EXECUTIVE SUMMARY**

**Summary Report**  
Click the View Summary button to create a summary report of your Audit to Print/Save to your computer

**VIEW SUMMARY REPORT**

**Audit Submission**  
When you have completed the assembly of your audit documentation, please click on Submit to begin the submission process.  
*(Once Audit is submitted you will not be able to come back and get Summary Report)*

**SUBMIT AUDIT**

**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.

#### Executive Summary



Introduction

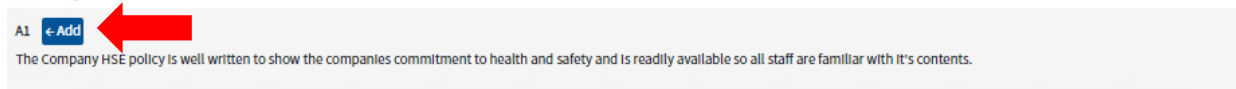
Key Strengths

Key Suggestions for Improvement

Closeout

**SAVE**

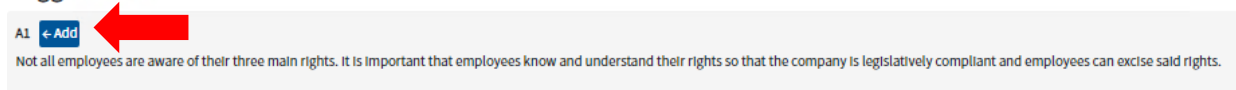
#### Strengths



A1 **Add**

The Company HSE policy is well written to show the companies commitment to health and safety and is readily available so all staff are familiar with it's contents.

#### Suggestions



A1 **Add**

Not all employees are aware of their three main rights. It is important that employees know and understand their rights so that the company is legislatively compliant and employees can exercise said rights.

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

6. Next click on the **View Summary Report** button.

- [Audit Dashboard](#)
- [Company Details](#)
- [Audit Details](#)
- [Sites](#)
- [On Site Activity](#)
- [Audit Results](#)
- [Finalize and Submit](#)

## Finalize And Submit Audit

### Pre Audit Letter

Upload your pre-audit letter here

Browse for file

Choose Files No file chosen

Upload

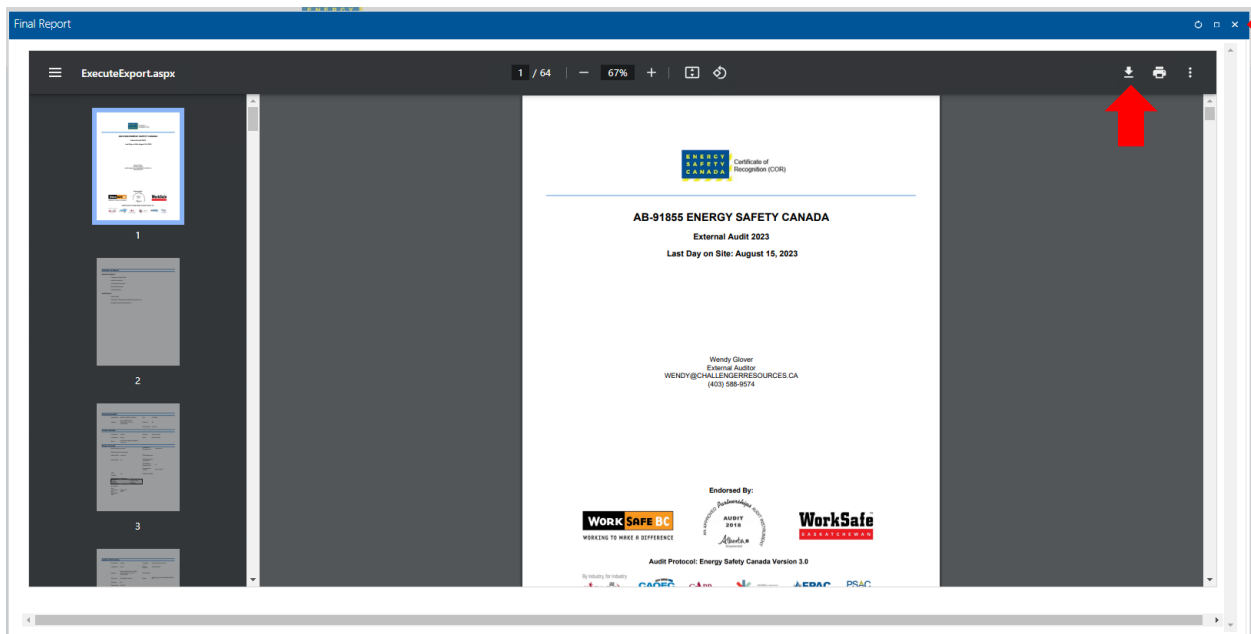
[EDIT EXECUTIVE SUMMARY](#)

### Summary Report

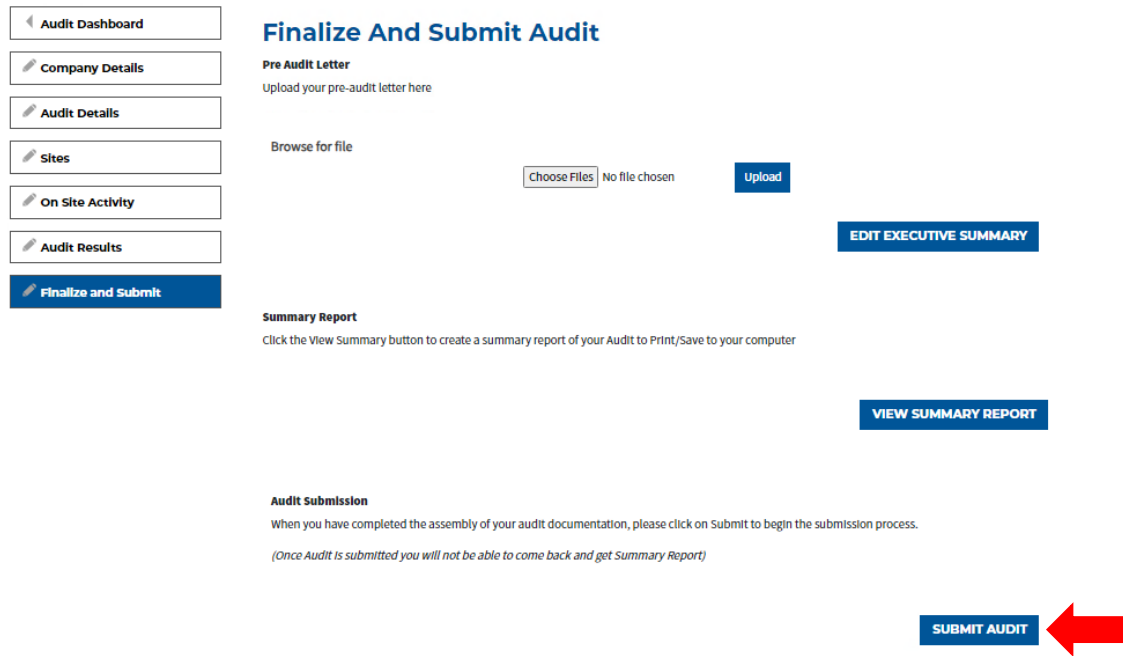
Click the View Summary button to create a summary report of your Audit to Print/Save to your computer

[VIEW SUMMARY REPORT](#)

- 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.

## COR Audit Submission

ENERGY SAFETY CANADA

Audit #	Audit Status	Audit Start	Audit Due	Scope
202300414	REGISTERED	8/15/2023	9/6/2023	Full
Lead Auditor				Cert Type
Andrew Gibson				COR

I acknowledge that I have read and adhered to the EnergySafety Canada AuditorCode of Ethics during the completion of this audit

**BACK**

**SUBMIT**

### 1.9 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.

Term	Definition
External Auditor	An auditor certified through Energy Safety Canada that can complete both internal or external maintenance and certification audits.
Field Site	A worksite located outside. A site where field work is carried out.
Fixed Site	A Fixed Site means a single physical location where business is conducted or where services or industrial operations are performed.
Full Scope Audit	Is a representative sampling of all operations covered under the provincial jurisdiction the employer would like to obtain a COR for.
Head Office Site	The headquarters of an organization as it relates to the jurisdiction being audited.
Internal Auditor	An auditor that has been trained to conduct internal maintenance audits on behalf of the company they work for.
Parent Company	A parent company is a single company that has a controlling interest in another company or companies.
Legal Company Name	The legal name of your company (not operating name). It can be a word name or a numbered name (i.e., 123456 Alberta Ltd.)
Limited Scope Audit	<p>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%.</p> <p>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.</p>

## APPENDIX B: AUDIT TYPES

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

Audit Type	Definition
External Auditor for SECOR Certification or Maintenance	A Small employer hires an ESC External auditor to complete the small employer audit for either certification or maintenance of a SECOR.
Limited Scope Action Plan	The action plan that is developed in consultation with the employer following the submission of a failed audit between 70% - 79%.
Limited Scope Final Submission	The re-audit that is completed by an ESC Certified auditor on the areas outlined in the limited scope action plan.
On-Site Audit Review (OSAR)	A governing body-initiated audit or CP initiated audit.
Single Audit for Multiple Companies Certification or Maintenance	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.
Site Specific Audit Certification or Maintenance	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.
Standard Audit Certification or Maintenance	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.
Student Maintenance Audit	A student auditor who has just completed the ESC 5 Day Certificated Health & Safety Audit program and is completing their practicum audit to count as their





	qualification audit for auditor certification as well as to maintain their employers COR.
Student Qualification	A student auditor who has just completed the ESC 5 Day Certificated Health & Safety Audit program and is completing their practicum audit to count as their qualification audit for auditor certification.
Team Audit Certification or Maintenance	A team of one or more ESC Certified auditors that has been approved to complete a team audit for COR Certification or maintenance.
Team Audit Certification or Maintenance (Multi-Company)	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.
Verification Audit	A governing body-initiated audit or CP initiated audit.



## APPENDIX C: AUDIT CERTIFICATE TYPES

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

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