FINISH A COR AUDIT REGISTRATION PROCEDURE FOR AUDITORS

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

Sensitivity Level: Public

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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

Version	Date	Author(s)	Revision Notes
1.0	August 9, 2023	Jennifer Koenig	New Document

⚠️R Requirements changed in the new revision will be identified with a revision triangle beside it.

SUMMARY OF REVIEWERS

The following people were involved in the review of this 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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1.0 SINGLE & MULTI-COMPANY AUDIT REGISTRATION PROCEDURE
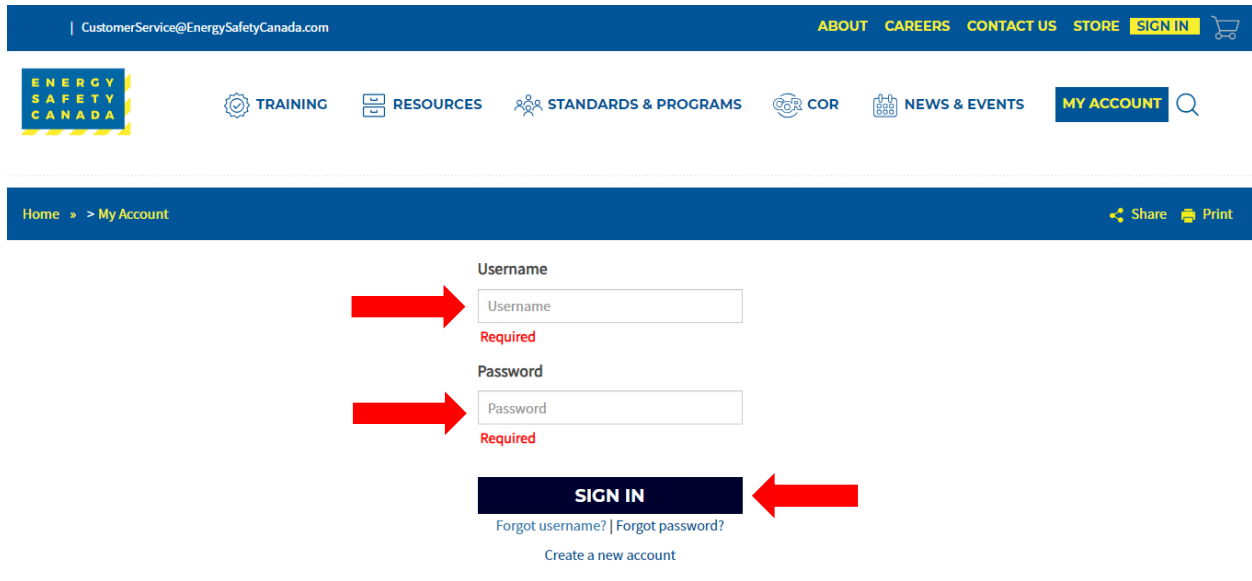
1.1 Audit Notification

Once the employer selects you as the auditor to complete their COR Audit, you will receive an email notification. You will then be required to complete the audit registration on behalf of the employer.

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

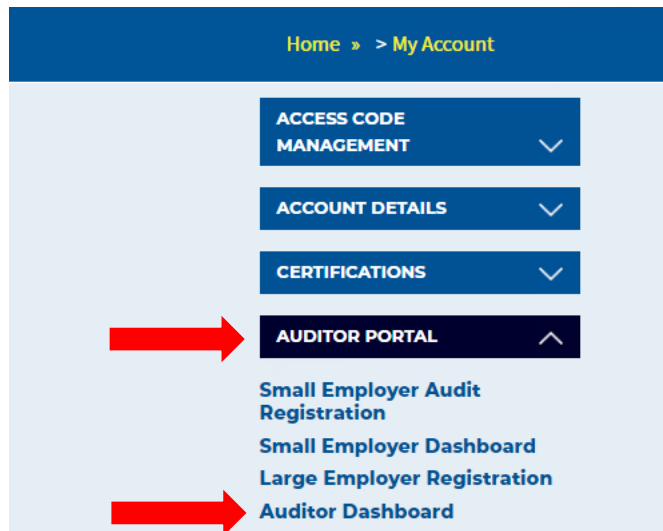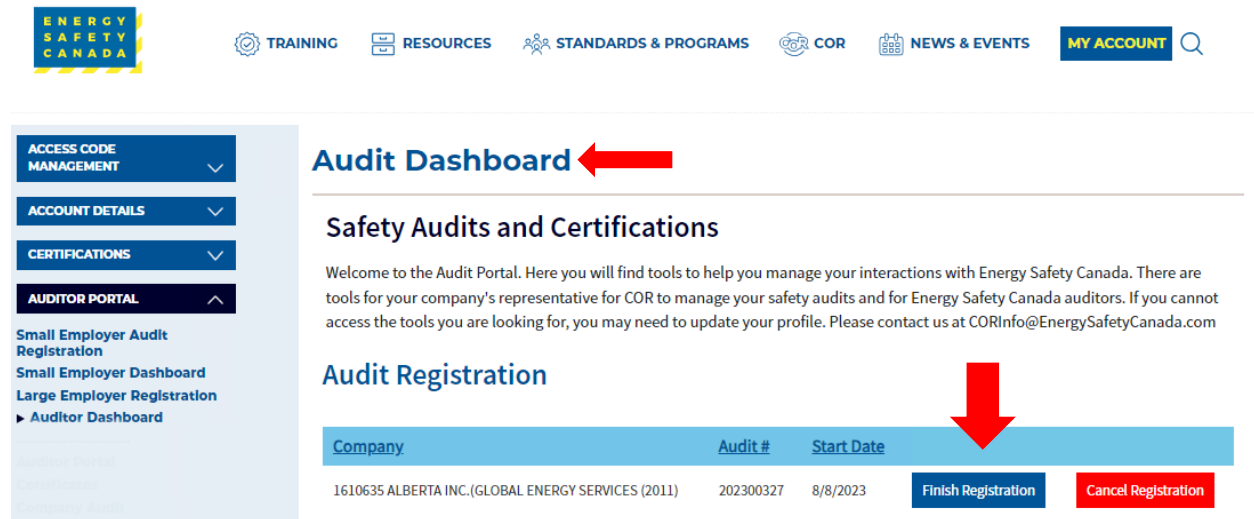2. Next, enter your login credentials and password. Click on the SIGN IN button.

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.

4. You are now on your Audit Dashboard where you can see your Audit Registrations. Click on the **Finish Registration** button to select the audit you would like to complete the registration for.

1.2 STEP 1 – Auditor Acknowledgement

You are now on the Auditor Acknowledge page where you will complete the audit registration phase.

1. Confirm the auto populated information you see is correct:

   - Company name

   - Number of employees

   - Company Head Office Location

   - COR Contact information (email and phone number)

2. Click on the Safety Audits and Certifications Outline of Roles and Responsibilities (ORR) document link to review responsibilities.

   - Click the acknowledgement checkbox

   - Click the **NEXT** button to move to STEP 2 of the audit registration phase.

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Step 1   Step 2   Step 3   Step 4   Step 5

Auditor - Acknowledgement

1610635 ALBERTA INC.(GLOBAL ENERGY SERVICES (2011)
25 Employees

Calgary AB

COR   Rex Brigan

Contact   rbrigan@test.com

                        (403) 243-0820

• I acknowledge having read the Safety Audits and Certifications Safety Audits and Certifications Outline of Roles and Responsibilities (ORR) document
☑ document.

BACK   NEXT

1.3   STEP 2 – Auditor - Entering Audit Details

You are now on the Auditor Audit Details page. The information displayed is auto populated from the information entered during the employer registration phase.

1. Confirm the audit start date the employer entered. If the date is incorrect or needs to change, click on the calendar icon and select the new date you will begin the audit on.
2. Next confirm the certificate type (COR/SECOR). If the wrong certificate type was selected, you will need to contact CORinfo at 1-800-667-5557 Option 3.
3. Next confirm the Audit type selected from the drop-down menu. If you are unsure of the audit type you are registering, refer to Appendix B – Audit Types.
4. Next confirm if you will be using this audit as a student audit:
    a. No
    b. Yes
5. Next confirm if you will be using this audit as a re-qualification audit:
    a. No
    b. Yes
6. Lastly confirm if the data entered for a single audit covering multiple legal companies is correct YES/NO. If not, you will need to contact CORinfo at 1-800-667-5557 Option 3.
7. Click the NEXT to move to STEP 3 of the audit registration phase.

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1.4 STEP 3 – Entering your Sample Plan

A detailed breakdown of all worksites that are included in the scope of the audit is required. The information displayed under the Current Worksite Summary may or may not be complete depending on what the employer entered during the audit registration phase.

1. Begin by confirming the current worksite summary information displayed at the top of the screen – employee counts and site totals should match:
    1. Employees Entered in Worksites
    2. Total employees
    3. Sites Provided
    4. Total Sites
2. Next, you will identify if this is a Team Audit by selecting either NO from the drop-down menu under "Are there Multiple Auditors on this project".

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Sites / Sample Plan

Please provide a detailed breakdown of all of the worksites that are to be included in the scope of your audit.
To add a new worksite, click on the "Add New Site" button below.

Current Worksite Summary

Employees Entered in Worksites	Total Employees	Sites Provided	Total Sites
25	25	2	2

Are there Multiple Auditors on this project?

No ▾

Parent Company	Site/Location	Province	No. of Workers	Type	
1610635 ALBERTA INC.(GLOBAL ENERGY SERVICES (2011)	Calgary Shop	AB	10	Fixed	Edit
1610635 ALBERTA INC.(GLOBAL ENERGY SERVICES (2011)	Calgary Head Office	AB	15	Head Office	Edit

Add New Site

BACK   NEXT

Please review each site and provide an approximate sample plan. You will be able to proceed once all sites have been reviewed.

NOTE: You must enter the required data for each site to proceed to the next step of the registration phase.

1.4.1 If all sites **were** entered by the employer, you will need to confirm the information and enter your interview and site sampling information before being able to proceed to the next step of the registration process.

1. To review sites entered by the employer, click on the EDIT button located next to the line item which will open a pop-up window.

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Sites / Sample Plan

Please provide a detailed breakdown of all of the worksites that are to be included in the scope of your audit.
To add a new worksite, click on the "Add New Site" button below.

Current Worksite Summary

Employees Entered in Worksites	Total Employees	Sites Provided	Total Sites
25	25	2	2

Are there Multiple Auditors on this project?

No ⌄

Parent Company	Site/Location	Province	No. of Workers	Type	
1610635 ALBERTA INC.(GLOBAL ENERGY SERVICES (2011)	Calgary Shop	AB	10	Fixed	Edit
1610635 ALBERTA INC.(GLOBAL ENERGY SERVICES (2011)	Calgary Head Office	AB	15	Head Office	Edit

Add New Site

BACK   NEXT

Please review each site and provide an approximate sample plan. You will be able to proceed once all sites have been reviewed.

Confirm the following information entered by the employer:

1. Parent Company – **NOTE:** For Single Company Audits, there should only be one company listed in the dropdown list. For Multi-Company Audits, there will be multiple companies listed in the dropdown list to select from).
2. Site/Location

NOTE: When entering sites/locations ensure your description is clear. For example, if you have multiple sites/locations in Calgary, ensure you can tell the difference (i.e., Calgary Head Office, Calgary Satellite Office, Calgary Shop, etc.). When you go to enter your onsite activities for D, I, O, locations only appear by site name, if all sites/locations have the same name (i.e., Calgary) you will not be able to differentiate sites.

3. Province
4. Number of Workers
5. Type:
   i. Field
   ii. Fixed

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iii. Head Office
6. Year of Last Audit (enter never if this is the first audit being completed)
7. Select site observation option:
   i. Not Visiting
   ii. Site Visit Planned

8. Next you will need to enter the total number of employees per level as well as the number to be interviewed – this is now your site and interview sampling plan.

9. Click the SAVE button to close the pop-up window.

1. Repeat this process until you have reviewed and entered sampling data for each site that is included in the audit scope.
2. Once all data has been entered, click the NEXT button to move to STEP 4 of the audit registration phase.

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1.4.2 If all sites **were not** entered by the employer, begin by clicking on the <mark>Add Company</mark> button which will open a pop-up window to enter worksite data.

Sites / Sample Plan

Please provide a detailed breakdown of all of the worksites that are to be included in the scope of your audit.
To add a new worksite, click on the "Add New Site" button below.

Current Worksite Summary

Employees Entered in Worksites	Total Employees	Sites Provided	Total Sites
25	25	2	2

Are there Multiple Auditors on this project?

No ▾

Parent Company	Site/Location	Province	No. of Workers	Type	
1610635 ALBERTA INC.(GLOBAL ENERGY SERVICES (2011)	Calgary Shop	AB	10	Fixed	Edit
1610635 ALBERTA INC.(GLOBAL ENERGY SERVICES (2011)	Calgary Head Office	AB	15	Head Office	Edit

Add Company ⬅

BACK   NEXT

Please review each site and provide an approximate sample plan. You will be able to proceed once all sites have been reviewed.

1. Begin by selecting the parent company from the dropdown menu. **NOTE:** For Single Company Audits, there will only be one company listed in the dropdown list. For Multi-Company Audits, there will be multiple companies listed in the dropdown list to select from).
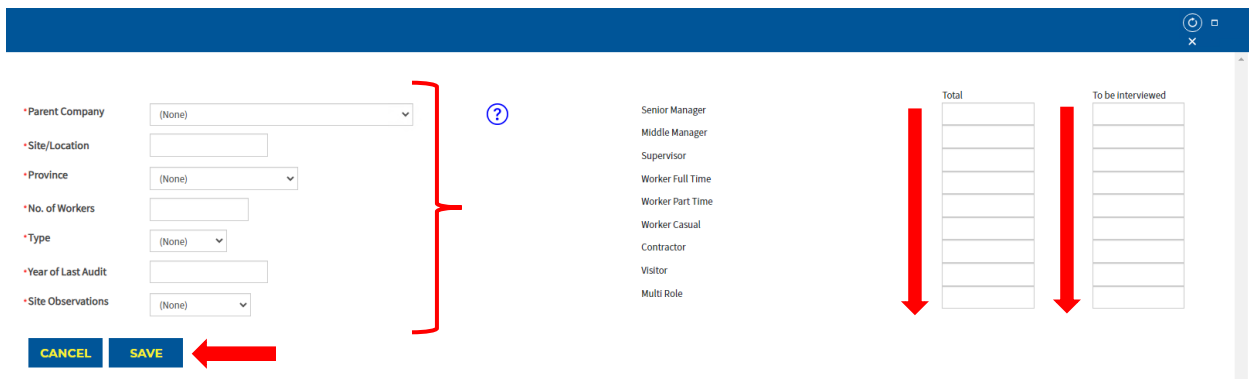2. Next enter the name of the site/location.

NOTE: When entering sites/locations ensure your description is clear. For example, if you have multiple sites/locations in Calgary, ensure you can tell the difference (i.e., Calgary Head Office, Calgary Satellite Office, Calgary Shop, etc.). When you go to enter your onsite activities for D, I, O, locations only appear by site name, if all sites/locations have the same name (i.e., Calgary) you will not be able to differentiate sites.

3. Select the applicable province from the dropdown menu.
4. Enter the number of workers located at this site/location.
5. Select the type from the drop-down menu:
   a. Field

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      b. Fixed

      c. Head Office

6. Enter the year of last audit (i.e. 2022)
7. Next identify site observations by clicking on the drop-down menu and selecting:
   a. Not Visiting
   b. Site Visit Planned
8. Next you will need to enter the total number of employees per level as well as the number to be interviewed – this is now your site and interview sampling plan.
9. Click SAVE to close the window.
10. Repeat this process until you have entered all sampling data for each site that is part of the audit scope.
11. Once all sites have been entered, click NEXT to move to STEP 4 of the audit registration process.

1.5   STEP 4 – Submitting the Audit Registration

You are now on the Submit Audit Registration page.

You are about to submit your COR Audit Registration.

The Auditor must ensure that audits are carried out using the approved protocol adhering to the Energy Safety Canada Auditor Code of Ethics.

The auditor is responsible to complete the following regarding an audit registration:

- Ensure auditor(s) certification is current. Registrations will not be accepted if the certification is expired.

- Register all audits with Energy Safety Canada prior to starting the audit. The auditor cannot begin the audit until they have received a notification of audit registration.

- Notify Energy Safety Canada of any changes or cancellations as soon as they occur to the original approved audit registration.

- Please ensure before you Submit that you have ready the Safety Audits and Certifications Outline of Roles and Responsibilities (ORR) document by clicking on the blue hyperlink to open.

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- Click the "I confirm this registration is complete" check box.

- Next, click the SUBMIT AUDIT REGISTRATION button to complete the audit registration phase.

1.6   STEP 5 – Thank you for Submitting your COR Audit Registration

Thank you for submitting your Audit.

Your audit information has been received by Energy Safety Canada and we acknowledge receipt of your submission and assure you that it will undergo a thorough review. Our team is committed to carefully assessing the information provided and ensuring a comprehensive evaluation. Please note that the registration process may take some time, as we prioritize accuracy and attention to detail. We appreciate your patience, and you can expect further communication from us once the registration is complete. Also please ensure you review the Safety Audits and Certifications Outline of Roles and Responsibilities (ORR) document. If you have any urgent inquiries, please don't hesitate to contact our support team.

Click on the RETURN TO AUDITOR DASHBOARD button to return to your dashboard.

Step 1   Step 2   Step 3   Step 4   **Step 5**

Thank you for Submitting your COR Registration Application

Thank you for submitting your Audit.

Your audit information has been received by Energy Safety Canada and we acknowledge receipt of your submission and assure you that it will undergo a thorough review. Our team is committed to carefully assessing the information provided and ensuring a comprehensive evaluation. Please note that the registration process may take some time, as we prioritize accuracy and attention to detail. We appreciate your patience, and you can expect further communication from us once the registration is complete. If you have any urgent inquiries, please don't hesitate to contact our support team.

RETURN TO AUDITOR DASHBOARD
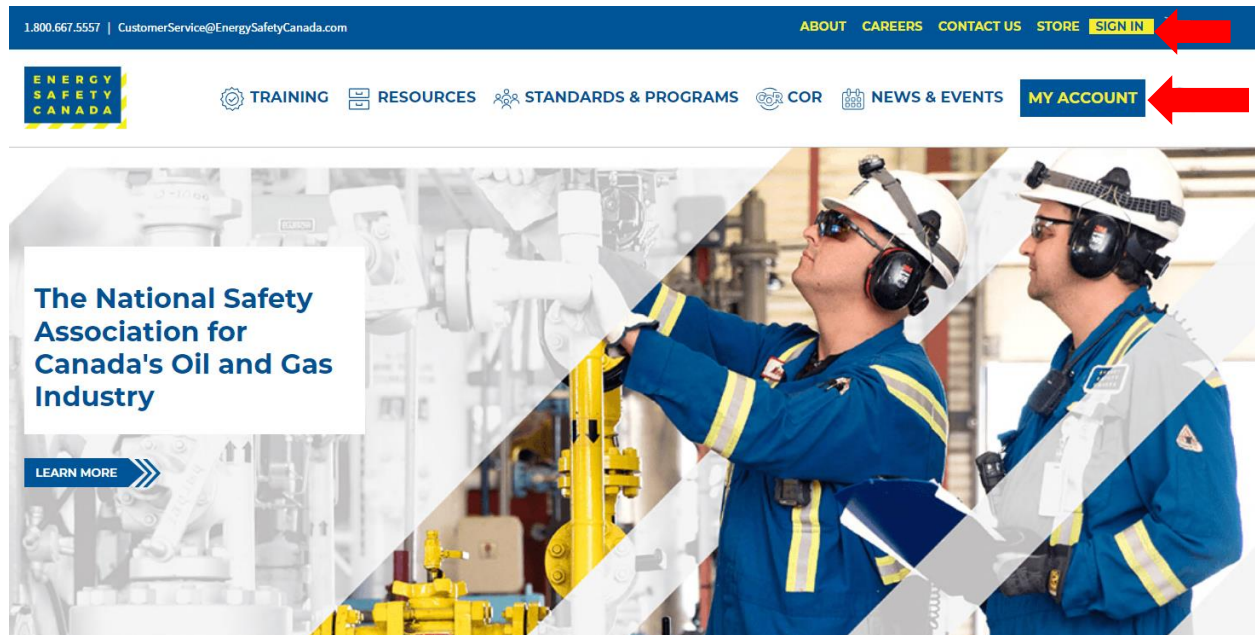
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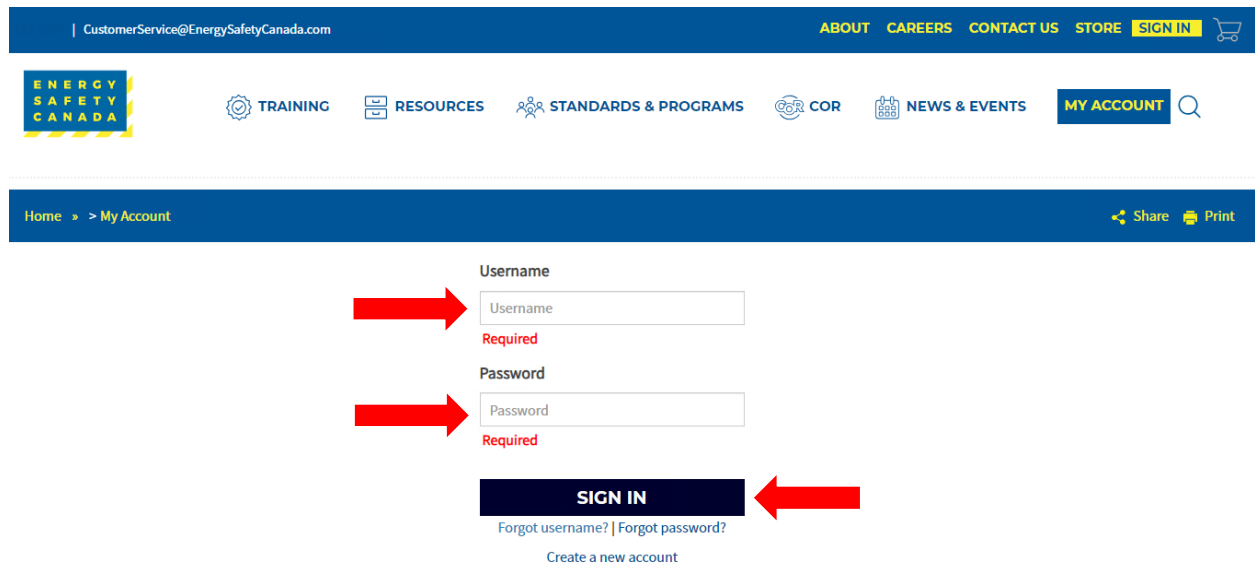## 2.0   TEAM AUDIT REGISTRATION PROCEDURE

2.1   Audit Notification

If an employer selects you as the auditor to complete their COR Audit, you will receive an email notification. The Lead Auditor will then be required to complete the audit registration on behalf of the employer.

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.
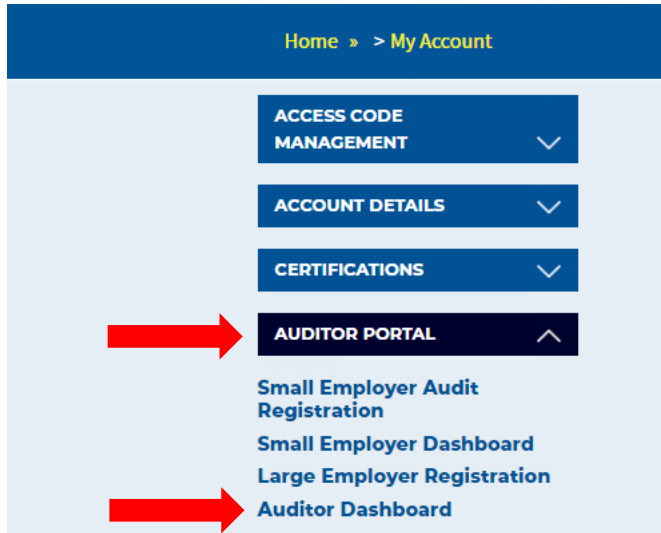

2. Next, enter your login credentials and password. Click on the SIGN IN button.
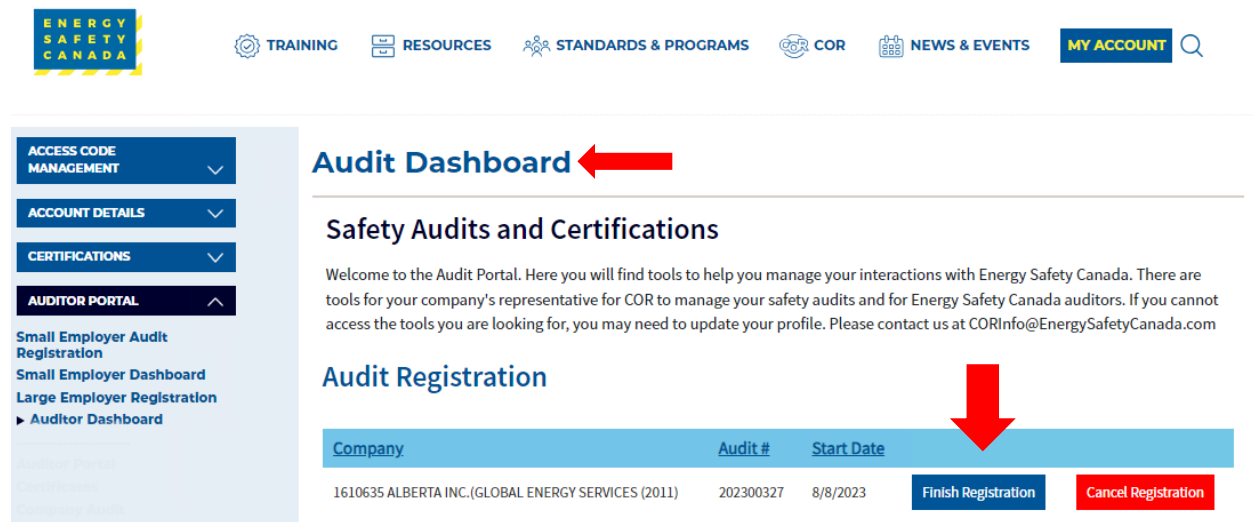
3. Once logged in, navigate to the left-hand side menu bar, click on the AUDITOR PORTAL menu option. From there, select the Auditor Dashboard.

4. You are now on your Audit Dashboard where you can see your Audit Registrations. Click on the Finish Registration button to select the audit you would like to complete the registration for.
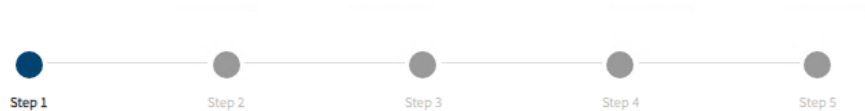
2.2 STEP 1 – Auditor Acknowledgement

You are now on the Auditor Acknowledge page where you will complete the audit registration phase.

1. Confirm the auto populated information you see is correct:

- Company name
- Number of employees
- Company Head Office Location
- COR Contact information (email and phone number)

3. Click on the Safety Audits and Certifications Outline of Roles and Responsibilities (ORR) document link to review responsibilities.

- Click the acknowledgement checkbox
- Click the NEXT button to move to STEP 2 of the audit registration phase.

2.3 STEP 2 – Auditor - Entering Audit Details

You are now on the Auditor Audit Details page. The information displayed is auto populated from the information entered during the employer registration phase.

1. Confirm the audit start date the employer entered. If the date is incorrect or needs to change, click on the calendar icon and select the new date you will begin the audit on.
2. Next confirm the certificate type (COR/SECOR). If the wrong certificate type was selected, you will need to contact CORinfo at 1-800-667-5557 Option 3.
3. Next confirm the Audit type selected from the drop-down menu. If you are unsure of the audit type you are registering, refer to Appendix B – Audit Types.
4. Next confirm if you will be using this audit as a student audit:
    a. No
    b. Yes
5. Next confirm if you will be using this audit as a re-qualification audit:
    a. No
    b. Yes
6. Lastly confirm if the data entered for a single audit covering multiple legal companies is correct YES/NO. If not, you will need to contact CORinfo at 1-800-667-5557 Option 3.
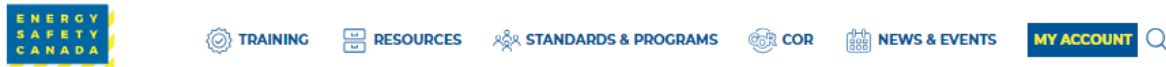7. Click the NEXT to move to STEP 3 of the audit registration phase.

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2.4 STEP 3 – Entering your Sample Plan

A detailed breakdown of all worksites that are included in the scope of the audit is required. The information displayed under the Current Worksite Summary may or may not be complete depending on what the employer entered during the audit registration phase.

1. Begin by confirming the current worksite summary information displayed at the top of the screen – employee counts and site totals should match:
   - Employees Entered in Worksites
   - Total employees
   - Sites Provided
   - Total Sites
2. Next, you will identify if this is a Team Audit by selecting YES from the drop-down menu under "Are there Multiple Auditors on this project". When selecting YES, you will need to assign an auditor to each of the sites included in the scope of the audit before proceeding – ONLY Assign one Auditor per site.

NOTE: You must enter the required data for each site to proceed to the next step of the registration phase.

2.4.1 If all sites **were** entered by the employer, you will need to confirm the information and enter your interview and site sampling information before being able to proceed to the next step of the registration process.

1. To review sites entered by the employer, click on the EDIT button located next to the line item which will open a pop-up window.

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Confirm the following information entered by the employer:

1. Parent Company – **NOTE:** For Single Company Audits, there should only be one company listed in the dropdown list. For Multi-Company Audits, there will be multiple companies listed in the dropdown list to select from).
2. Site/Location

NOTE: When entering sites/locations ensure your description is clear. For example, if you have multiple sites/locations in Calgary, ensure you can tell the difference (i.e., Calgary Head Office, Calgary Satellite Office, Calgary Shop, etc.). When you go to enter your onsite activities for Documentation, Interviews and Observations, locations only appear by site name, if all sites/locations have the same name (i.e., Calgary) you will not be able to differentiate sites.

3. Province
4. Number of Workers
5. Type:
    i. Field
    ii. Fixed
    iii. Head Office
6. Year of Last Audit (enter never if this is the first audit being completed)
7. Select site observation option:
    ii. Not Visiting
    iii. Site Visit Planned
8. When conducting a Team audit you must enter the name of the auditor that will be conducting the site observations and interviews for this site/location. Enter one auditor only.
9. Next you will need to enter the total number of employees per level as well as the number to be interviewed – this is now your site and interview sampling plan.
10. Click the **SAVE** button to close the pop-up window.
11. Repeat this process until you have reviewed and entered sampling data for each site that is included in the audit scope.
12. Once all data has been entered, click the **NEXT** button to move to STEP 4 of the audit registration phase.

2.4.2 If all sites **were not** entered by the employer, begin by clicking on the Add New Site button which will open a pop-up window to enter worksite data.

Step 1   Step 2   Step 3   Step 4   Step 5

Sites / Sample Plan

Please provide a detailed breakdown of all of the worksites that are to be included in the scope of your audit.
To add a new worksite, click on the "Add New Site" button below.

Current Worksite Summary

Employees Entered in Worksites	Total Employees	Sites Provided	Total Sites
25	25	2	2

Are there Multiple Auditors on this project?

No ⌄

Parent Company	Site/Location	Province	No. of Workers	Type	
1610635 ALBERTA INC.(GLOBAL ENERGY SERVICES (2011)	Calgary Shop	AB	10	Fixed	Edit
1610635 ALBERTA INC.(GLOBAL ENERGY SERVICES (2011)	Calgary Head Office	AB	15	Head Office	Edit

Add New Site

BACK   NEXT

Please review each site and provide an approximate sample plan. You will be able to proceed once all sites have been reviewed.

1. Begin by selecting the parent company from the dropdown menu. **NOTE:** For Single Company Audits, there will only be one company listed in the dropdown list. For Multi-

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Company Audits, there will be multiple companies listed in the dropdown list to select from).

2. Next enter the name of the site/location.

NOTE: When entering sites/locations ensure your description is clear. For example, if you have multiple sites/locations in Calgary, ensure you can tell the difference (i.e., Calgary Head Office, Calgary Satellite Office, Calgary Shop, etc.). When you go to enter your onsite activities for Documentation, Interviews, and Observations, locations only appear by site name, if all sites/locations have the same name (i.e., Calgary) you will not be able to differentiate sites.

3. Select the applicable province from the dropdown menu.
4. Enter the number of workers located at this site/location.
5. Select the type from the drop-down menu:
    a. Field
    b. Fixed
    c. Head Office
6. Enter the year of last audit (i.e. 2022)
7. Next identify site observations by clicking on the drop-down menu and selecting:
    a. Not Visiting
    b. Site Visit Planned
8. When conducting a Team audit you must enter the name of the auditor that will be conducting the site observations and interviews for this site/location. Enter one auditor only.
9. Next you will need to enter the total number of employees per level as well as the number to be interviewed – this is now your site and interview sampling plan.
10. Click **SAVE** to close the window.
11. Repeat this process until you have entered all sampling data for each site that is part of the audit scope.
12. Once all sites have been entered, click **NEXT** to move to STEP 4 of the audit registration process.
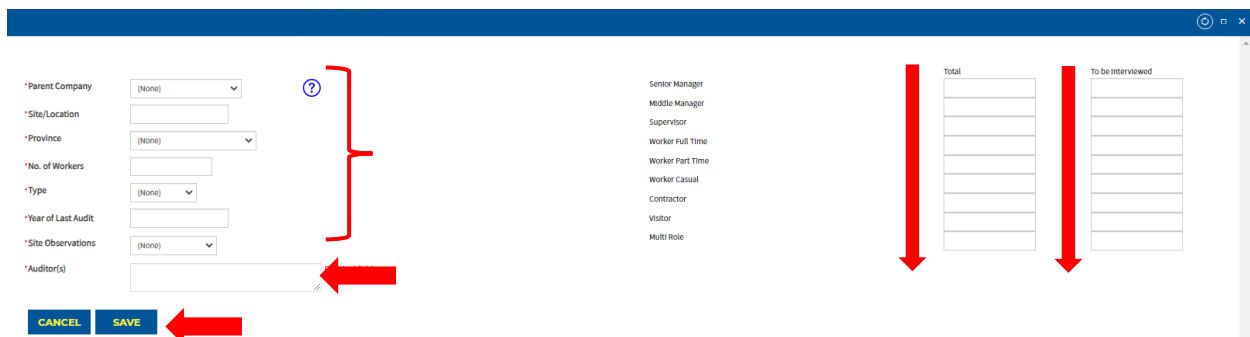
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2.5 STEP 4 – Submitting the Audit Registration

You are now on the Submit Audit Registration page.

You are about to submit your COR Audit Registration.

The Auditor must ensure that audits are carried out using the approved protocol adhering to the Energy Safety Canada Auditor Code of Ethics.

The auditor is responsible to complete the following regarding an audit registration:

- Ensure auditor(s) certification is current. Registrations will not be accepted if the certification is expired.

- Register all audits with Energy Safety Canada prior to starting the audit. The auditor cannot begin the audit until they have received a notification of audit registration.

- Notify Energy Safety Canada of any changes or cancellations as soon as they occur to the original approved audit registration.

- Please ensure before you Submit that you have ready the Safety Audits and Certifications Outline of Roles and Responsibilities (ORR) document by clicking on the blue hyperlink to open.

- Click the "I confirm this registration is complete" check box.

- Next, click the SUBMIT AUDIT REGISTRATION button to complete the audit registration phase.

2.6 STEP 5 – Thank you for Submitting your COR Audit Registration

Thank you for submitting your Audit.

Your audit information has been received by Energy Safety Canada and we acknowledge receipt of your submission and assure you that it will undergo a thorough review. Our team is committed to carefully assessing the information provided and ensuring a comprehensive evaluation. Please note that the registration process may take some time, as we prioritize accuracy and attention to detail. We appreciate your patience, and you can expect further communication from us once the registration is complete. Also please ensure you review the Safety Audits and Certifications Outline of Roles and Responsibilities (ORR) document. If you have any urgent inquiries, please don't hesitate to contact our support team.

Click on the RETURN TO AUDITOR DASHBOARD button to return to your 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	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.

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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

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	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.

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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.

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