AUDIT REGISTRATION PROCEDURE

Effective Date: March 20, 2023
Owned by:
Manager, Safety Audits & Certifications

Approval: *Juliet Goodwine*
Approved By:
Manager, Safety Audits & Certifications

Valid Until: March 20, 2026

Sensitivity Level: Public

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	November 14, 2018	Melissa Mass	This is the first revision of the COR Audit Registration. This revision brings the Procedure template into alignment with the templates used by the Governing Documents Framework.
1.1	April 8, 2020	Melissa Mass	Revised Energy Safety Canada responsibilities to incorporate large complex employers.
1.2	March 15, 2021	Shannon Senga	Review and update to current.
1.3	March 20, 2023	Shannon Senga	3 Year Review, with minor changes made throughout regarding pay online.
	Oct 2, 2023	Juliet Goodwin	Updated to reflect new COR Audit Software registration steps.

⚠️R3   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
Shannon Senga	Program Administrator, Safety Audits and Certifications
SA&C Team	Subject Matter Experts (SME)
Juliet Goodwin	Manager, Safety Audits and Certifications

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1.0 ABOUT THIS PROCEDURE

1.1 Purpose and Direction

The employer and auditor have a shared responsibility to register each audit with Energy Safety Canada prior to its start date. COR Audit registrations is now a 2-part process completed by both the employer and auditor. All COR Audits must be completed on the Energy Safety Canada COR Audit Software.

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

1.2 Scope

This procedure applies to employers who wish to certify, recertify or maintain their certification. It does not apply to the following audit types:

- Action Plan performed in lieu of a maintenance audit.
- SECOR Audits performed by External Auditors
- CSA or ISO Equivalency

1.3 Target Audience

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

2.0 PROCEDURE

2.1.1 The employer initiates the audit registration by logging into their account on the Energy Safety Canada website. See 3.0 Roles and Responsibilities for more information.

2.1.2 There is step by step instructions provided at
https://www.energysafetycanada.com/COR/CORSECOR/COR-Audit-Software

2.1.3 The auditor is responsible for completing the audit registration after it is initiated by the employer. The following criteria must be met:

- The auditor must be current in training requirements and in be good standing with Energy Safety Canada. Registrations will not be accepted if the certification is expired.

- Conduct a preliminary discussion with the employer to determine the type of work, sampling, audit cycle, type of certification and other necessary information for pre-audit scope.

- Obtain accurate WCB information from the employer prior to registration.

- Confirm auditor number of any team auditors prior to registration if applicable

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- Receive approval for the registration of an audit prior to starting the audit. The auditor cannot begin the audit until they have received a notification of audit registration.

- Ensure someone other than the auditor has been designated as the company contact

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

3.0 ROLES AND RESPONSIBILITIES

Roles	Responsibilities
Employer	- Have an active health and safety management system in place - Ensure all contractor hiring procedures are followed including having a written agreement on the contract details when hiring an External Auditor. - Conduct a preliminary discussion with the auditor prior to initiating the audit registration process to determine the type of work, sampling, audit cycle, type of certification and other necessary information for pre-audit scope. - Initiate the Audit Registration as per the Employer COR Audit Registration Procedure. - Select a qualified Energy Safety Canada auditor who is available to conduct the audit in its entirety, from the approved auditor list. - Provide the auditor with current and accurate WCB account information, audit cycle, and worksite and employer information, which are required at the time of registration. - Pay fees to Energy Safety Canada once notification of Audit payment required is received. Delayed payment of fees will result in a delay of the audit commencement. - Remain engaged in the audit process to ensure the audit is conducted and submitted within the program requirements as per the contract details agreed to with the auditor. - Assign a key staff that is knowledgeable of the health and safety system to be the key contact for the auditor for the duration of the audit.
	- Ensure their status as a certified auditor is current - Be available to conduct the audit in its entirety

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Auditor	• Complete the registration of the audit after the employer initiates and prior to the planned start date.
	• Considerations should be made when selecting a start date to allow enough time for the following:
	    ○ For non-member employers, to make necessary payment to Energy Safety Canada
	    ○ For Energy Safety Canada to perform required quality assurance checks on the audit registration
	• Assess requirement for additional applications for team audit, audit plans, or one audit covering multiple companies
	• Provide information in a timely manner as requested by Energy Safety Canada to assist with the audit registration process
	• Notify Energy Safety Canada of any changes or cancellations, as soon as they occur, to the original approved audit registration using the auditor portal

Energy Safety Canada	• Perform a Quality Assurance (QA) review on the submitted audit registration to check for:
	    ○ Auditor credentials
	    ○ Company information
	    ○ WCB account validation
	    ○ Audit type
	    ○ Member/non-member status
	    ○ Assess requirement for additional applications for team audit, audit plans or one audit covering multiple companies
	• Request any missing or additional information from the employer and/or auditor
	• Register the required information with online systems of the applicable government body
	    ○ For large complex employers, extra verification must be completed within all online systems to verify that no aspects of the employers' operations are omitted or misrepresented
	• Review and process the audit registration in a timely manner, including invoicing and sending payment required notices to the employer
	• Communicate audit registration approval or non-approval to the employer and auditor

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