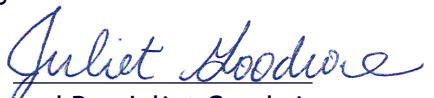




# USE OF CORPORATE AUDITS FOR CERTIFICATE OF RECOGNITION MAINTENANCE

Effective Date: 2019 - 01 - 15  
Owned by: Juliet Goodwin  
Manager, Safety Audits & Certifications

Approval: 

Approved By: Juliet Goodwin  
Manager, Safety Audits & Certifications  
Valid Until: 2022 - 01 - 15

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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	January 15, 2019	Melissa Mass	This is the first revision of the Use of Corporate Audits for COR Maintenance. This revision brings the Procedure template into alignment with the templates used by the Governing Documents Framework.

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

## SUMMARY OF REVIEWERS

The following people were involved in the review of this Procedure.

Name	Position
Juliet Goodwin	Manager, Safety Audits and Certifications
Justin Degagne	Program Manager, Training
SA&C Team	Subject Matter Experts (SME)

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## 1.0 ABOUT THIS PROCEDURE

### 1.1 Purpose and Direction

It is recognized that very large organizations may have developed their own corporate health and safety audit instruments, customized to evaluate their specific health and safety management system. In an effort to provide employers with additional options for Certificate of Recognition (COR) maintenance and to reduce the amount of auditing required by these employers, this procedure allows employer corporate audits to be used for COR maintenance if pre-approved by Energy Safety Canada and the applicable governing body.

Energy Safety Canada will track the recertification audit results of employers that use corporate audits as a maintenance option.<sup>1</sup>

### 1.2 Scope

COR-holders may be eligible to use their corporate Occupational Health and Safety audit for maintaining their COR Certificate, if pre-approved by Energy Safety Canada and the applicable governing body.

### 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 Maintenance audit equivalencies may be granted for corporate Occupational Health and Safety Audits developed and maintained by large employers (over 400 employees), if approved by Energy Safety Canada and the governing body. Franchise operators associated with a large corporation may also apply for use of this option if the corporation's audit is approved.

2.2 Energy Safety Canada must pre-approve use of this option for each participation year. Requests for use of this option must be signed by senior management.

- The employer's current COR must be in good standing and have been active for a minimum of four consecutive years
- The corporate audit process must have been in place and actively used by the employer for a minimum of 3 years
- The employer must have achieved a minimum score of 90% overall on their last recertification audit

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- The corporate audit document to be used must have been approved by Energy Safety Canada and the governing body. Any changes made to a document that was formerly approved will require re-review and re-approval before it can be used again
- The audit scope must be representative of the account/industry code(s) covered by the COR being maintained and must include the head office

2.3 To be approved, the corporate audit document must be submitted to Energy Safety Canada no later than June 30 of the maintenance year. Audit documents must:

- Be relevant to occupational health and safety systems
- Contain at least 80% of the content criteria identified from the AB Partnerships Audit Standard<sup>2</sup>, and a minimum of 50% of the content specified for each element. Content weightings required for an audit to be approved do not have to be met
- Check for ongoing maintenance of the employer's occupational health and safety management system
- Utilize all three data gathering techniques required by Partnerships: documentation review, interviews of all levels, and work site observations. There is no established requirement for the minimum or maximum use of specific validation techniques

2.4 Corporate audits will typically be expected to follow the timeline requirements for regular maintenance audits.<sup>3</sup> The audit date of record for the Corporate Audit will be the last date of on-site information gathering activities.

2.5 Auditors must be Energy Safety Canada certified, or certified by a national/international body acceptable to the governing body and Energy Safety Canada.

2.6 Quality assurance review by Energy Safety Canada requires verification of criteria specific to this maintenance process. This includes:

- The lead auditor is pre-approved by Energy Safety Canada
- All auditors met training and certificate requirements for use of the employer's audit instrument
- The audit was conducted within the timelines allowed
- The audit scope is sufficient to maintain the employer's COR
- The final audit submission is complete, and the report reflects the state of the employer's occupational health and safety management system for the maintenance period
- Includes an action plan for corrective actions identified by the audit
- Results of the corporate audit were reviewed and approved by the corporate occupational health and safety department
- The results were signed-off by the operation's senior management

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2.7 Corporate health and safety audits which are not focused on health and safety management systems may be acceptable for maintaining the employer’s COR under the following conditions:

- The employer’s application must include all criteria specified in Section 2.1 and 2.2, and these criteria must be approved by the Energy Safety Canada before submitting the application to the appropriate governing body.
- The employer’s application must include a copy of the proposed audit instrument complete with all auditing guidelines/instructions and supporting documents
- The employer must provide a complete explanation of what the corporate audit covers, and how it supports the employer’s health and safety management system
- The employer must provide rationale to explain why the employer’s proposed corporate audit should be accepted to meet COR maintenance requirements
- Energy Safety Canada will make the sole decision as to whether to accept the employer’s corporate audit for COR maintenance and for how many maintenance years this process could be used

### **3.0 ROLES AND RESPONSIBILITIES**

<b>Employer</b>	<ul style="list-style-type: none"> <li>• Applies to Energy Safety Canada, no later than June 30 of the calendar year, to use their corporate audit for COR maintenance for the current year in advance of registering their audit</li> <li>• Provides the necessary documentation, including a completed application that demonstrates full compliance with this procedure</li> </ul>
Energy Safety Canada	<ul style="list-style-type: none"> <li>• Reviews the application and supporting documentation to ensure compliance with the above procedure</li> <li>• If required, Energy Safety Canada forwards approved applications and all supporting documentation to the applicable governing body for their approval</li> <li>• Energy Safety Canada communicates its decision, or the decision reached in consultation with the relevant governing body, to the employer</li> <li>• If approved, Energy Safety Canada maintains a copy of the employer’s application and supporting documentation</li> </ul>

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## 4.0 REFERENCE DOCUMENTS

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<sup>1</sup> SAC-MNL-001 Department Manual

Alberta Government Reference: [1.21 Corporate Audits for Maint](#)

<sup>2</sup> SAC-CFT-021 Standard Application for an Employer to use Corporate Auditors

<sup>3</sup> SAC-PRO-022 Maintenance Audit

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