**CCSA Auditor Code of Ethics Agreement**

Auditors must strive to maintain a high level of professional conduct at all times. To ensure the consistent quality and integrity of the audit process, auditors must adhere to the following:

* **Confidentiality**: Auditors must ensure that all information obtained through the audit process is treated as confidential and must not be disclosed to parties other than the employer and the CP, except where the auditor is authorized or otherwise legally obligated to disclose the information. Auditors must always maintain the confidentiality of the interview process.
* **Professional Conduct**: An auditor shall behave in such a manner that their good faith and integrity will not be called into question.
* **Diligence**: Auditors are expected to act in good faith, responsibly with due care and competence, and without misrepresenting material facts or allowing their independent judgment to be compromised.
* **Accuracy**: Auditors must be accurate and consistent in their evaluations of data obtained through documentation, interviews and observation.
* **Completeness**: Auditors must ensure their evaluations are complete, and avoid any omissions relevant to the scope of the audit.
* **Clarity**: Auditors must ensure that both their suggestions for improvement and other notes and observations are clear, concise, reflective of the audit findings, and written in plain language.
* **Honesty**: Auditors must be honest in their assessment of the employers’ workplace health and management systems, and in their dealings with all persons involved in the audit.
* **Objectivity**: Auditors must separate facts from opinion and not allow personal feelings or prejudices to affect their evaluation. Evaluations must be based on objective and measurable data, and not subjective opinions or auditor assumptions.
* **Relevance**: Auditors must ensure their recommendations are relevant to the employers’ operations, meet the standards of the audit instrument, and add value to improving the employer’s health and safety management system.
* **Timeliness**: Auditors must ensure that audits comply with all required timelines for audit completion, submission, and corrections.
* **Corporate** **Opportunity**: Auditors are prohibited from using either the employer’s or the CP’s intellectual property or information for personal gain (including for the gain of family members or friends).
* **Duty to Report**: If an auditor encounters a situation where another auditor(s) may have violated the Code of Ethics, or engaged in unethical audit practices, this must be reported to the CP immediately.
* **Compliance with Partnerships Standards**: Auditors must follow all auditing and quality assurance standards as established by their CP and Partnerships.
* **Compliance with Legislation**: Auditors must comply with all applicable laws, rules and regulations of federal, provincial and local governments, and appropriate private and public regulatory agencies
* **Conflict of Interest**:– auditors must not use the audit as an opportunity to further themselves with the employer or with other stakeholders
	+ Conflict of interest for external certification and recertification audits is defined as:
		- The auditor or a member of the auditor’s corporate group has not helped to build, establish, implement, advise, consult, or maintain the employer’s health and safety processes at any time during the twelve-month period preceding the audit.
		- The auditor or a member of the auditor’s corporate group must not have been employed by, or been in a direct contractual relationship with the employer within the twelve-month period preceding the audit, except for the following:
			* delivering standard CP-developed training courses,
			* delivering generic training courses (in either group or individual employer settings),
			* providing other services not directly evaluated by the audit instrument (e.g. audiometric testing).
	+ The auditor or a member of the auditor’s corporate group should not have a personal relationship (e.g. family members, close personal friends) with any key employees or members of the management group at the operation being audited where that relationship may be perceived to influence the results of the audit.
	+ The auditor must not make audit recommendations with the intent to market or to justify the purchase of additional business services from either the auditor or a member of the auditor’s corporate group.
	+ “Cross-audits” are prohibited in all auditing scenarios. (A cross-audit situation occurs when, in the same calendar year, a certified auditor from Company A conducts an audit of Company B, and a certified auditor from Company B conducts an audit on Company A.)
	+ A certified auditor from a peer audit system must not audit the principal(s) or prime contractor that their employer is working for at the time of the audit.
* **Quality** – auditors must adhere to the audit process and timelines as stated in the CCSA training and quality assurance material.

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, have read and understand the CCSA *Code of Ethics* as stated above. I agree with the above requirements and will strive to adhere to these rules. As an auditor, I also realize that any breach of the *Code of Ethics* may result in a formal review and subsequent suspension of my Auditor Certificate.

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| Signature: |  | Date: |  |
| Email: |  | Phone: |  |
| Address: |  | Facility: |  |
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NOTE: In order to be certified as a CCSA auditor, a signed copy of the 2-page *CCSA Auditor Code of Ethics Agreement* must be mailed to CCSA at the following address. Alternatively, you can apply your digital signature or scan and email to COR@ab-ccsa.ca

CCSA

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