

Alberta Construction Safety Association

ACSA Auditor Code of Ethics Statement

The following ethics must be followed at all times when conducting any and all types of health & safety audits for the ACSA.

- **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 safety 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.

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Auditor Conflict of Interest Guidelines

Before sourcing an Auditor or conducting an Audit yourself, you must first determine that there is no conflict of interest. Here are some points to help you identify that there is no conflict of interest.

- The auditor or a member of the auditor's corporate group (defined as auditor consulting firms or auditor professional corporations working in partnership arrangements) has not helped to:
 - Build;
 - Establish;
 - Implement;
 - Advise;
 - Consult; or
 - Maintain the employer's health and safety processes at any time during the last twelve months (preceding the audit.)

- The auditor or a member of the auditor's corporate group must not have been:
 - employed by; or
 - in a direct contractual relationship with the employer within the last twelve months (preceding the audit).

Except for the following:

- Delivering standard CP-developed training courses;
 - Delivering generic training courses (in either group or individual employer settings);
or
 - Providing other services not directly evaluated by the audit instrument (e.g. audiometric testing).
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- The auditor or a member of the auditor's corporate group does 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.

 - In COR maintenance years, certified auditors may both develop and audit an employer's health and safety program.

Auditor Name: _____ Auditor Signature: _____

Certificate Number: _____ Date: _____