



Management System and Protection Program Audit Protocols

In accordance with the Canadian Energy Regulator Onshore Pipeline Regulations

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Establish and implement a process for setting objectives and targets for goals for annual review – OPR 6.5(1)(a)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(a) establish and implement a process for setting the objectives and specific targets that are required to achieve the goals established under subsection 6.3(1) and for ensuring their annual review.

For reference, subsection 6.3(1) requires the company establish documented policies and goals to ensure that the purposes referred to in paragraphs 6(a) to (c) are achieved and that its obligations under the Onshore Pipeline Regulations are met. The policies and goals shall include

- (a) Policy for the internal reporting of hazards, potential hazards, incidents and near-misses that includes the circumstances, in addition to those set out in the Canada Labour Code, under which a person who makes a report will be immune from disciplinary procedures; and
- (b) Goals for the prevention of ruptures, liquid and gas releases, fatalities and injuries and for the response to incidents and emergency situations.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The company has set objectives and targets that are required to achieve the goals established under subsection 6.3(1).
- All objectives are relevant to the company’s management system when considering the scope of the process and their application to s. 55 programs.
- An annual review of the objectives and targets is performed by the company.
- The review determines if the objectives were achieved or if corrective or preventive actions are needed.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in

Process	Established	Implemented
<ul style="list-style-type: none"> • Where required, references other relevant processes, procedures and work instructions; and • Describe how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(a) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the performance measures are approved at appropriate management levels within the company; • How the company's objectives and targets are linked to the company's goals OPR subsection 6.3(1); • How the company's objectives and targets are linked to their performance measures OPR paragraph 6.5(1)(b); • How the company's objectives and specific targets are communicated to its appropriate level of management OPR s. 6.5(1)(m); • How the company's objectives and specific targets are assessed OPR paragraph 6.5(1)(v); • How the company will take corrective or preventive actions for issues identified when the established objectives and targets are used to evaluate the goals established under subsection 6.3(1); and 	<p>staff who use the process within the company; and</p> <ul style="list-style-type: none"> • The approved process has been documented for a minimum three (3) months. 	<p>the management system and s. 55 programs.</p> <ul style="list-style-type: none"> • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<ul style="list-style-type: none"> How the company will conduct the annual review by management of its objectives and specific targets. 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(a) establish and implement a process for setting the objectives and specific targets that are required to achieve the goals established under subsection 6.3(1) and for ensuring their annual review.

For reference, subsection 6.3(1) requires the company establish documented policies and goals to ensure that the purposes referred to in paragraphs 6(a) to (c) are achieved and that its obligations under the Onshore Pipeline Regulations are met. The policies and goals shall include

- (a) Policy for the internal reporting of hazards, potential hazards, incidents and near-misses that includes the circumstances, in addition to those set out in the Canada Labour Code, under which a person who makes a report will be immune from disciplinary procedures; and
- (b) Goals for the prevention of ruptures, liquid and gas releases, fatalities and injuries and for the response to incidents and emergency situations.

Information Request Reference Number	Information Request	Company Response ¹
1	Make available the company’s documented process for paragraph 6.5(1)(a).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company in support of its process for setting objectives and specific targets. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company addresses the following: <ul style="list-style-type: none"> a) How does the company approve and endorse the objectives and targets for use; 	<insert response>

¹ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ¹
	b) How does the company communicate and train all staff in the company that use the process; and c) Demonstrate that the documented process has been approved for minimum three (3) months.	
5	Demonstrate through records that the process has been used as intended for a minimum three (3) months.	<insert response>
6	Make available documents and records to demonstrate the annual review by company management of the objectives and specific targets and any actions taken to address those areas where the company did not meet the objectives or targets.	<insert response>

Develop performance measures to evaluate – OPR 6.5(1)(b)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(b) develop performance measures for evaluating the company’s success in achieving its goals, objectives and targets.

Table 1 – Guidance

Outcomes

- The company has developed performance measures that are relevant to its documented goals, objectives, and targets.
- The following two items will be confirmed in connection with the company’s annual report per paragraph 6.6(1)(b):
 - The performance measures support the ability to assess the achievement of the company’s goals, objectives, and targets.
 - The company applies the performance measures to assess its success in achieving its goals, objectives and targets.

Develop	Assess
<p>To be compliant, ensure the following are addressed:</p> <ul style="list-style-type: none"> • How the performance measures are applied and what they measure; • Where required, the performance measures reference other relevant processes, procedures and work instructions; and • Describes how they are applied to each s. 55 program. <p>In addition to the above requirements to demonstrate the performance measures are developed, demonstrate the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the objectives and targets are approved at appropriate management levels within the company; • How the company’s performance measures are linked to their goals OPR paragraph 6.3(1)(b); • How the company’s performance measures are linked to their specific objectives and targets OPR paragraph 6.5.(1)(a); 	<p>To meet the requirements of this paragraph and part of paragraph 6.6(1)(a), ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company company’s performance measures are used for the ongoing assessment of goals, objectives and targets. • All required forms and records as part of the process can be demonstrated as in use; • All documented interacting actions or steps are performed by the company as required; and • The approved documents can be demonstrated as in use for minimum three (3) months.

Develop	Assess
<ul style="list-style-type: none"> • How will the company report or communicate its performance measures to its appropriate levels of management OPR s. 6.5(1)(m); • How will the company initiate corrective actions for issues with performance measures; and • How the company will use their performance measures for the purposes of preparing their annual report per OPR paragraph 6.6(1)(a). 	

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(b) develop performance measures for evaluating the company’s success in achieving its goals, objectives and targets.

Information Request Reference Number	Information Request	Company Response ²
1	Make available the company’s documented performance measures for paragraph 6.5(1)(b).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for developing performance measures.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company addresses the following: <ul style="list-style-type: none"> a) How does the company approve the performance measures for use; b) How does the company communicate and train all staff in the company that use this documentation; and c) Demonstrate that this management system requirement has been approved for minimum three (3) months 	<insert response>

² Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ²
5	Demonstrate through records that this management system requirement has been used as intended for a minimum three (3) months.	<insert response>
6	Pursuant to paragraph 6.6(1)(b) make available documents and records to demonstrate the annual review by company management of the performance measures.	<insert response>

Establish and implement a process for identifying and analyzing hazards – OPR 6.5(1)(c)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(c) establish and implement a process for identifying and analyzing all hazards and potential hazards.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The methods for identification of hazards and potential hazards are appropriate for the nature, scope, scale, and complexity of the company’s operations, activities and s. 55 programs.
- The identification of hazards and potential hazards must include the full life cycle of the pipeline
- The company has comprehensively identified and analyzed all relevant hazards and potential hazards.
- The hazards and potential hazards have been identified for the company’s scope of operations through the lifecycle of the pipelines.
- The identified hazards and potential hazards have been analyzed for the type and severity of their consequences.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describe how it is integrated or is used in connection with each s. 55 program. 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and

Process	Established	Implemented
<p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(c) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company uses various methods to identify hazards as most appropriate for the s. 55 programs including regulatory required standards: <ul style="list-style-type: none"> • Canada Labour Code (CLC); • Canadian Standards Association Z276 Liquefied natural gas- Production storage; • Canadian Standards Association Z341 Oil & gas Industrial systems & materials; • Canadian Standards Association Z246.1 Security management for petroleum & natural gas industry systems; and • Canadian Standards Association Z662 Oil & gas pipeline systems. • How the identification of hazards includes both occupational and operational activities along with multi-event scenarios; • How the company will use specialized methods for hazard identification such as: job-safety analysis, job-hazard analysis, HAZOP etc.; • How the company will analyze all identified hazards; • How the process links to the company's inventory of hazards 		<ul style="list-style-type: none"> • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<p>and potential hazards OPR paragraph 6.5(1)(d);</p> <p>How the process links to the company's risk evaluation process OPR paragraph 6.5(1)(e) and its controls process OPR paragraph 6.5(1)(f);</p> <ul style="list-style-type: none"> • How changes to the company's operations or activities will require the identification and analysis of new or altered hazards OPR paragraph 6.5(1)(i); and • How the identified hazards and potential hazards are reported and updated on a periodic basis OPR paragraph 6.5(1)(r). 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(c) establish and implement a process for identifying and analyzing all hazards and potential hazards.

Information Request Reference Number	Information Request	Company Response ³
1	Make available the company's documented process for s. 6.5(1)(c).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for identifying and analyzing hazards. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>

³ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ³
4	Make available records and documents to demonstrate how the company uses a variety of methods to identify hazards such as, but not limited to, HAZOPS and Field Level Hazard Assessments.	<insert response>
5	Make available records and documents to demonstrate how the company will analyze all identified hazards.	<insert response>
6	<p>Make available records and documents to demonstrate how the company addresses the following:</p> <ul style="list-style-type: none"> a) How the process links to the company's inventory of hazards and potential hazards OPR paragraph 6.5(1)(d); b) b) How the process links to the company's risk evaluation process OPR paragraph 6.5(1)(e) and its controls process OPR paragraph 6.5(1)(f). 	<insert response>
7	<p>Make available records and documents to demonstrate how the company addresses the following:</p> <ul style="list-style-type: none"> • How changes to the company's operations or activities will require the identification and analysis of new, potential or altered hazards OPR paragraph 6.5(1)(i). 	<insert response>
8	<p>Make available records and documents to demonstrate how the company addresses the following:</p> <ul style="list-style-type: none"> a) How the identified hazards and potential hazards are reported and updated on a periodic basis OPR paragraph 6.5(1)(r); b) How does the company communicate and train all staff in the company that use the process; and c) Demonstrate that the documented process has been approved for minimum three (3) months. 	<insert response>
9	Demonstrate through records that the process has been used as intended for a minimum three (3) months.	<insert response>

Establish and maintain an inventory of the identified hazards and potential hazards – OPR 6.5(1)(d)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(d) establish and maintain an inventory of the identified hazards and potential hazards

Table 1 – Guidance

Outcomes

- The company has a compliant inventory that is established and maintained.
- The inventory includes hazards and potential hazards associated within the company's scope of operations and activities through the lifecycle of the pipelines.
- Hazards and potential hazards are identified across all s. 55 programs.
- The inventory has been maintained, it is current, and is up-to-date including changes made to company operations and activities.
- The inventory is being used as part of the risk evaluation and controls processes.

Inventory	Established	Maintained	Implemented
<p>To be a compliant inventory, ensure the following are addressed:</p> <ul style="list-style-type: none"> • All hazards and potential hazards within the company scope of operations and activities are in the inventory; and • The inventory of hazards and potential hazards are linked to each of the applicable s. 55 programs. 	<p>To meet the requirements for established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The documentation is developed in the company required format; • The inventory is approved and endorsed for use by the appropriate level of management; • The inventory is communicated, and training is provided to all staff who use the documents within the company; and • The approved inventory and methods for maintaining the inventory have been documented. for a minimum three (3) months. 	<p>To meet the requirements for maintained, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The inventory is kept current in the required format; and • The inventory meets all regulatory requirements including the control of records process requirements OPR paragraph 6.5(1)(p). <p>In addition to the above requirements the following needs to be addressed:</p> <ul style="list-style-type: none"> • How the inventory is prepared, updated and maintained from the hazard identification and analysis process OPR paragraph 6.5(1)(c); • How the company will link the inventory to their risk evaluation process OPR paragraph 6.5(1)(e) and their controls process OPR paragraph 6.5(1)(f); and • How changes to the company's operations or activities will require 	<p>To demonstrate that the requirements are implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • Demonstrate the ongoing active use and ongoing use of the inventory; • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the inventory for the management system and the s. 55 programs by the appropriate staff; and • Evidence that the approved inventory has been use for a minimum three (3) months.

Inventory	Established	Maintained	Implemented
		updates to the inventory OPR paragraph 6.5(1)(i) .	

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(d) establish and maintain an inventory of the identified hazards and potential hazards

Information Request Reference Number	Information Request	Company Response ⁴
1	Make available the company’s inventory for s. 6.5(1)(d).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the inventory. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how the inventory applies to all OPR s. 55 programs.	<insert response>
4	Make available records and documents to demonstrate how the company addresses the following: <ul style="list-style-type: none"> a) How the inventory is prepared, updated and maintained from the hazard identification and analysis process OPR paragraph 6.5(1)(c); and b) How the company links the inventory to its risk evaluation process OPR paragraph 6.5(1)(e) and their controls process OPR paragraph 6.5(1)(f). 	<insert response>
5	Make available records and documents to demonstrate how the company addresses the following: <ul style="list-style-type: none"> • How changes to the company’s operations, activities or newly identified hazards or potential hazards will require updates to the inventory OPR paragraph 6.5(1)(i). 	<insert response>

⁴ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ⁴
6	<p>Make available records and documents to demonstrate how the company addresses the following:</p> <ul style="list-style-type: none"> a) How does the company communicate and train all staff in the company that use the process; and b) Demonstrate that the approved inventory has been documented for minimum three (3) months. 	<insert response>
7	<p>Demonstrate through records that the inventory has been used as intended for a minimum three (3) months.</p>	<insert response>

Establish and implement a process for evaluating risks and hazards – OPR 6.5(1)(e)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(e) establish and implement a process for evaluating the risks associated with the identified hazards, including the risks related to normal and abnormal operating conditions.

Table 1 – Guidance

Outcomes

- The company has a compliant process for evaluating risks that is established and implemented.
- The method(s) for risk evaluation confirm that the risks associated with the identified hazards (related to normal and abnormal operating conditions) are based on referenced regulatory standards and are appropriate for the nature, scope, scale, and complexity of the company’s operations, activities, and are connected to the purposes and intended outcomes of the s. 55 programs.
- Risks are evaluated for all hazards and potential hazards and include normal and abnormal conditions.
- Risk levels are monitored on a periodic basis and as needed and re-evaluated for changing circumstances.
- Risk tolerance/acceptance criteria is determined for all hazards and potential hazards.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and

Process	Established	Implemented
<ul style="list-style-type: none"> • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR s. 6.5(1)(e) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company performs risk evaluation as appropriate for the s. 55 programs including regulatory required standards; <ul style="list-style-type: none"> • Canadian Standards Association Z276 Liquefied natural gas – Production storage; • Canadian Standards Association Z341 Oil & gas Industrial systems & materials; • Canadian Standards Association Z246.1 Security management for petroleum & natural gas industry systems; and • Canadian Standards Association Z662 Oil & gas pipeline systems. • How the company includes normal and abnormal operating conditions; • How the company determines risk tolerance/acceptance; • How the company will manage risks; • How this process links to the process for developing and implementing controls OPR paragraph 6.5(1)(f); • How changes determined through the process will be 		<ul style="list-style-type: none"> • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<p>handled through the change management process where updates to the risk evaluation and management of the risk occur OPR paragraph 6.5(1)(i); and</p> <ul style="list-style-type: none"> How the process links to the contingency plan process OPR paragraph 6.5(1)(t). 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(e) establish and implement a process for evaluating the risks associated with the identified hazards, including the risks related to normal and abnormal operating conditions.

Information Request Reference Number	Information Request	Company Response ⁵
1	Make available the company’s documented process for s. 6.5(1)(e).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company addresses the following: <ul style="list-style-type: none"> a) How the company performs risk evaluation as appropriate for the s. 55 programs including regulatory required standards; and b) How the company includes normal and abnormal operating conditions. 	<insert response>
5	Make available records and documents to demonstrate how the company addresses the following:	<insert response>

⁵ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ⁵
	<ul style="list-style-type: none"> a) How the company determines risk tolerance and acceptance; b) How the company manages risks; c) Who within the company has the authority to approve certain risks, mitigation measures and controls; and d) How the process links to the process for developing and implementing controls OPR paragraph 6.5(1)(f). 	
6	<p>Make available records and documents to demonstrate how the company addresses the following:</p> <ul style="list-style-type: none"> a) How the identified hazards and potential changes are managed through the change management process and how required updates to the risk evaluation and management of the risk are handled OPR paragraph 6.5(1)(i); b) How the process links to the contingency plan process OPR paragraph 6.5(1)(t); c) How does the company communicate and train all staff in the company that use the process; and d) Demonstrate that the documented process has been approved for minimum three (3) months. 	<insert response>
7	Demonstrate through records that the inventory and process or other requirement have been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for evaluating risks and hazards – OPR 6.5(1)(f)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(f) establish and implement a process for developing and implementing controls to prevent, manage and mitigate the identified hazards, potential hazards and the risks and for communicating those controls to anyone who is exposed to the risks

Table 1 – Guidance

Outcomes

- The company has a compliant process for developing and implementing controls.
- The method(s) for developing controls are appropriate for the nature, scope, scale, and complexity of the company’s operations and activities and s. 55 programs.
- Controls are developed and implemented.
- Controls are adequate to prevent, manage and mitigate the identified hazards and risks.
- Controls are monitored on a periodic basis and as needed and re-evaluated for changing circumstances.
- Controls are communicated to those exposed to the risks.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and

Process	Established	Implemented
<p>In addition to the above process definition requirements, the documented process steps for OPR s. 6.5(1)(f) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company develops controls as appropriate for the s. 55 programs including regulatory required standards; • How the company determines the adequacy of controls to prevent, manage and mitigate the hazards and risks; • How the company will monitor controls; • How the process links to the process for risk evaluation OPR paragraph 6.5(1)(e); • How the process links to competency and training programs OPR paragraph 6.5(1)(j); • How the process links to awareness process OPR paragraph 6.5(1)(l); • How the process links to internal and external communication process OPR paragraph 6.5(1)(m); • How the process links to the coordinating and controlling operational activities process OPR paragraph 6.5(1)(q); and • How the process links to the change management process to update the controls, procedures and training, when required OPR paragraph 6.5(1)(i). 		<ul style="list-style-type: none"> • Evidence that the approved process has been in use for a minimum three (3) months.

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(f) establish and implement a process for developing and implementing controls to prevent, manage and mitigate the identified hazards, potential hazards and the risks and for communicating those controls to anyone who is exposed to the risks

Information Request Reference Number	Information Request	Company Response ⁶
1	Make available the company's documented process for s. 6.5(1)(f).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the controls process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company addresses the following: <ul style="list-style-type: none"> • How the company develops and implements controls as appropriate for the s. 55 programs including regulatory required standards. 	<insert response>
5	Make available records and documents to demonstrate how the company addresses the following: <ol style="list-style-type: none"> a) How the company determines the adequacy of controls to prevent, manage and mitigate the hazards and risks; and b) How the company will monitor the effectiveness of its controls. 	<insert response>
6	Make available records and documents to demonstrate how your company addresses the following: <ol style="list-style-type: none"> a) How the process links to the process for risk evaluation OPR paragraph 6.5(1)(e); b) How the process links to competency and training programs OPR paragraph 6.5(1)(j); c) How the process links to the awareness process OPR paragraph 6.5(1)(l); 	<insert response>

⁶ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ⁶
	<ul style="list-style-type: none"> d) How the process links to internal and external communication process OPR paragraph 6.5(1)(m); e) How the process links to the coordinating and controlling operational activities process OPR paragraph 6.5(1)(q); f) How changes will require update to the controls OPR paragraph 6.5(1)(i). g) How does the company communicate and train all staff in the company that use the process; and h) Demonstrate that the documented process has been approved for minimum three (3) months. 	
7	Demonstrate through records that the process has been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for evaluating risks and hazards – OPR 6.5(1)(g)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(g) establish and implement a process for identifying, and monitoring compliance with, all legal requirements that are applicable to the company in matters of safety, security and protection of the environment.

Table 1 – Guidance

Outcomes

- The company has a compliant process for identifying and monitoring compliance with legal requirements.
- The method(s) for identifying and monitoring compliance with legal requirements are appropriate for the nature, scope, scale, and complexity of the company’s operations and activities and s. 55 programs.
- The identification of legal requirements includes an adequate method to identify all of the applicable regulations and standards, including CER orders and conditions, to the clause level.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the</p>	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<p>documented process steps for OPR s. 6.5(1)(g) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company identifies legal requirements including referenced standards; • How the process links to the legal list OPR paragraph 6.5(1)(h); • How the process links to competency and training programs OPR paragraph 6.5(1)(j); • How the process links to awareness process OPR paragraph 6.5(1)(l); • How the process links to the coordinating and controlling operational activities process OPR paragraph 6.5(1)(q); and • How legal changes are assessed and managed through a change management process OPR paragraph 6.5(1)(i). 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(g) establish and implement a process for identifying, and monitoring compliance with, all legal requirements that are applicable to the company in matters of safety, security and protection of the environment.

Information Request Reference Number	Information Request	Company Response ⁷
1	Make available the company's documented process for s. 6.5(1)(g).	<insert response>

⁷ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Information Request Reference Number	Information Request	Company Response ⁷
2	Make available any other relevant supporting documentation or records used by the company for the process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	<p>Make available records and documents to demonstrate how the company addresses the following:</p> <ul style="list-style-type: none"> a) How the company identifies legal requirements including referenced standards; b) How this process links to the legal list OPR paragraph 6.5(1)(h); c) How this process links to competency and training programs OPR paragraph 6.5(1)(j); d) How the process links to awareness process OPR paragraph 6.5(1)(l); e) How the process links to internal and external communication process OPR paragraph 6.5(1)(m); f) How the process links to the coordinating and controlling operational activities process OPR paragraph 6.5(1)(q); and g) How process changes will require updates OPR paragraph 6.5.(1)(i). 	<insert response>
5	Demonstrate through records that the process has been used as intended for a minimum three (3) months.	<insert response>
6	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Establish and maintain a list of those legal requirements – OPR 6.5(1)(h)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(h) establish and maintain a list of those legal requirements.

Table 1 – Guidance

Outcomes

- The company has established and maintained a list of legal requirements.
- The list has been communicated to appropriate personnel.
- The list has been maintained and is up-to-date based on the company scope of operations, its activities, including new and existing legal requirements.
- The list includes all legal requirements for all s. 55 programs.
- The legal list has been developed to the clause level of the applicable regulation and standards.

Established	Maintained	Implemented
<p>To demonstrate that the documentation is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The documentation is developed in the format required by the company; • The document is approved and endorsed for use by the appropriate level of management; • The document is communicated, and training is provided to all staff who use the process within the company; and • The approved documentation has been documented for a minimum three (3) months. 	<p>To meet the requirements for maintained, ensure the following are addressed:</p> <ul style="list-style-type: none"> • How the list is prepared, updated and maintained; • How the company ensures the legal list has been developed to the clause level; • How the list is kept current in the required format; <p>How the company continues to meet regulatory requirements including control of records process requirements OPR paragraph 6.5(1)(p); and</p> <ul style="list-style-type: none"> • How the company will link to internal and external communication process OPR paragraph 6.5(1)(m) • where changes to the legal list occur. 	<p>To demonstrate that the list of legal requirements is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the list of legal requirements for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the list of legal requirements interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved list of legal requirements has been in use for a minimum three (3) months.

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(h) establish and maintain a list of those legal requirements.

Information Request Reference Number	Information Request	Company Response ⁸
1	Make available the company’s documented list for s. 6.5(1)(h).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the established and maintained list.	<insert response>
3	Make available documentation or records of how this is being integrated with each OPR s. 55 program.	<insert response>
4	<p>Make available records and documents to demonstrate how the company addresses the following:</p> <ul style="list-style-type: none"> a) How the list is prepared, updated and maintained; b) How the company ensures the legal list has been developed to the clause level; c) How the list is kept current in the required format; d) How the company continues to meet regulatory requirements including control of records process requirements; and e) How the company will link to internal and external communication process. 	<insert response>
5	Demonstrate through records that the inventory has been used as intended for a minimum three (3) months.	<insert response>
6	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>

⁸ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Establish and implement a process for identifying and managing change – OPR 6.5(1)(i)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(i) establish and implement a process for identifying and managing any change that could affect safety, security or the protection of the environment, including any new hazard or risk, any change in a design, specification, standard or procedure and any change in the company’s organizational structure or the legal requirements applicable to the company.

Table 1 – Guidance

Outcomes

- The company has a compliant process for identifying and managing change.
- Methods are defined to identify and manage change.
- Impacts to the company management system and s. 55 programs are identified and assessed.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(i) must include the</p>	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<p>following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • Definition of change including scope and application to s. 55 programs; • How the company will perform an assessment of change including: • Review of associated hazards, potential hazards, risk evaluation and controls OPR paragraph 6.5(1)(c), OPR paragraph 6.5(1)(e); • Review of impacts and needed adjustments to management system, s. 55 programs, equipment and processes; • Review of the legal requirements OPR paragraph 6.5(1)(h); and • Review of documented organizational structure OPR paragraph 6.4(c). • How the company will manage and implement the changes; • How changes will require update to the controls OPR paragraph 6.5(1)(f). • How the changes will be communicated internally and/or externally OPR paragraph 6.5(1)(m), and how the changes will be documented, approved and maintained OPR paragraph 6.5(1)(n) and paragraph 6.5(1)(o) 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(i) establish and implement a process for identifying and managing any change that could affect safety, security or the protection of the environment, including any new hazard or risk, any change in a design, specification, standard or procedure and any change in the company’s organizational structure or the legal requirements applicable to the company.

Information Request Reference Number	Information Request	Company Response ⁹
1	Make available the company’s documented process for s. 6.5(1)(i).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the management of change process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	<p>Make available records and documents to demonstrate how the company will perform an assessment of change including:</p> <ul style="list-style-type: none"> a) Reviewing the associated hazards, potential hazards, risk evaluation and controls OPR paragraph 6.5(1)(c), OPR paragraph 6.5(1)(e); b) Reviewing the impacts and needed adjustments to the management system, s. 55 programs, equipment and company processes; c) Reviewing the legal requirements OPR paragraph 6.5.(1)(h); d) Review of documented organizational structure OPR paragraph 6.4(c); and e) How changes will require updates to the controls OPR paragraph 6.5(1)(f). 	<insert response>
5	<p>Make available records and documents to demonstrate how the company will manage and implement the changes;</p> <p>How does the company communicate and train all staff in the company that use the process?</p>	<insert response>
6	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>

⁹ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response⁹
7	Demonstrate through records that the process has been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for developing competency requirements and training programs – OPR 6.5(1)(j)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(j) establish and implement a process for developing competency requirements and training programs that provide employees and other persons working with or on behalf of the company with the training that will enable them to perform their duties in a manner that is safe, ensures the safety and security of the pipeline and protects the environment.

Table 1 – Guidance

Outcomes

- The company has a compliant process for developing competency requirements and training programs.
- The company has defined what competency requirements are required.
- Training programs are traceable and trackable to the defined competency requirements and effective at achieving the desired competencies.
- Employees and those working on behalf of the company are competent to carry out their assigned work.
- Persons working with or on behalf of the company are provided with adequate training applicable to s. 55 programs and the management system.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and

Process	Established	Implemented
<ul style="list-style-type: none"> • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(j) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company has defined what competencies are required. At a minimum this will include worker and supervisor qualifications, knowledge requirements, and skill sets needed; • How the company's training programs are documented and linked to their respective competency requirements; • How the company ensures employees and those working on behalf of the company are competent to carry out their assigned work including: <ul style="list-style-type: none"> • How has the company designed, developed and delivered its training; • How has the company determined the frequency and re-fresher requirements of the training; and • How does the company maintain and update its training programs. • How the process links to the company's controls identified in OPR paragraph 6.5(1)(f); • How the process links to the company's legal requirements OPR paragraph 6.5(1)(g); 		<ul style="list-style-type: none"> • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<ul style="list-style-type: none"> • How the process links to the company's verification of competency and training OPR paragraph 6.5(1)(k); • How the process links to the company's process for making employees and others working on behalf of the company aware of their responsibilities OPR paragraph 6.5(1)(l); and • How the process links to the company's records management process OPR paragraph 6.5(1)(p). 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(j) establish and implement a process for developing competency requirements and training programs that provide employees and other persons working with or on behalf of the company with the training that will enable them to perform their duties in a manner that is safe, ensures the safety and security of the pipeline and protects the environment.

Information Request Reference Number	Information Request	Company Response ¹⁰
1	Make available the company's documented process for s. 6.5(1)(j).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the competency and training process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company develops competency requirements.	<insert response>

¹⁰ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ¹⁰
5	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
6	Demonstrate through records that the competency requirements and training programs have been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for verifying that employees are are trained – OPR 6.5(1)(k)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(k) establish and implement a process for verifying that employees and other persons working with or on behalf of the company are trained and competent and for supervising them to ensure that they perform their duties in a manner that is safe, ensures the safety and security of the pipeline and protects the environment.

Table 1 – Guidance

Outcomes

- The company has a compliant process for verifying employees and other persons working with or on behalf of the company are trained and competent.
- Records are maintained demonstrating employees and other persons working on behalf of the company are trained and competent as applicable to s. 55 programs.
- The company has a compliant process for supervising employees and other persons working on behalf of the company.
- Supervision of employees and other persons working with or on behalf of the company is adequate to ensure they perform their duties in a manner that is safe, ensures the security of the pipeline and protects the environment.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and

Process	Established	Implemented
<ul style="list-style-type: none"> • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(k) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How will the company verify the training and competency for employees and those working on behalf of the company; • How will the company supervise their employees and those working on behalf of the company to ensure they work safely, ensure the protection of the pipeline and protect the environment, • How the process links to the company’s competency and training OPR paragraph 6.5(1)(j); • How the process links to the company’s controls OPR paragraph 6.5(1)(f); • How the process links to the company’s legal requirements OPR paragraph 6.5(1)(g); and • How the process links to the company’s records OPR paragraph 6.5(1)(p). 		<ul style="list-style-type: none"> • Evidence that the approved process has been in use for a minimum three (3) months.

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(k) establish and implement a process for verifying that employees and other persons working with or on behalf of the company are trained and competent and for supervising them to ensure that they perform their duties in a manner that is safe, ensures the safety and security of the pipeline and protects the environment.

Information Request Reference Number	Information Request	Company Response ¹¹
1	Make available the company's documented process for s. 6.5(1)(k).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the verification of training and competency process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company verifies training.	<insert response>
5	Make available records and documents to demonstrate how the company verifies competency requirements.	<insert response>
6	Make available records and documents to demonstrate how the company supervises employees and others working on behalf of the company.	<insert response>
7	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
8	Demonstrate through records that the verification process has been used as intended for a minimum three (3) months.	<insert response>

¹¹ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Establish and implement a process for making employees aware of their responsibilities – OPR 6.5(1)(I)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(I) establish and implement a process for making employees and other persons working with or on behalf of the company aware of their responsibilities in relation to the processes and procedures required by this section.

Table 1 – Guidance

Outcomes

- The company has a compliant process for making employees and other persons aware of their responsibilities.
- Responsibilities are defined for employees and those other persons working on behalf of the company in relation to the processes and other requirements for OPR s. 6.5.(1) a-x.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(I) must include the</p>	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<p>following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company will communicate and make employees aware of their responsibilities; • How the company will communicate and make other persons working on behalf of the company aware of their responsibilities; • How the process links to the company's verification training and competency process OPR paragraph 6.5(1)(k); • How the process links to the company's internal and external communication process OPR paragraph 6.5(1)(m); and • How the process links to the company's process for coordinating and controlling operational activities OPR paragraph 6.5(1)(q). 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(l) establish and implement a process for making employees and other persons working with or on behalf of the company aware of their responsibilities in relation to the processes and procedures required by this section.

Information Request Reference Number	Information Request	Company Response ¹²
1	Make available the company's documented process for s. 6.5(1)(l).	<insert response>

¹² Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ¹²
2	Make available any other relevant supporting documentation or records used by the company for the awareness of responsibilities process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company makes employees and other persons working with or on behalf of the company aware of their responsibilities.	<insert response>
5	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
6	Demonstrate through records that the awareness process has been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for internal and external communication of information – OPR 6.5(1)(m)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(m) establish and implement a process for the internal and external communication of information relating to safety, security and protection of the environment.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The methods for both internal communication and external communication are defined.
- The company is communicating internally and externally related to safety, security and protection of the environment.
- Internal and external communication is occurring and it is adequate for the management system and s. 55 program implementation.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describe how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR</p>	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<p>s. 6.5(1)(m) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company performs its internal communication; • How the company performs its external communication; • How the process links to the company's process for identification of documents OPR paragraph 6.5(1)(n); and • How the process links to the company's process for coordinating and controlling operational activities process OPR paragraph 6.5(1)(q). 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(m) establish and implement a process for the internal and external communication of information relating to safety, security and protection of the environment.

Information Request Reference Number	Information Request	Company Response ¹³
1	Make available the company's documented process for s. 6.5(1)(m).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the internal and external communication process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>

¹³ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ¹³
4	Make available records and documents to demonstrate how the company performs internal and external communication.	<insert response>
5	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
6	Demonstrate through records that the internal and external communication process has been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for identifying the documents required for the company to meet Regulations – OPR 6.5(1)(n)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(n) establish and implement a process for identifying the documents required for the company to meet its obligations under these Regulations.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The methods for identifying the documents required are defined.
- Documents required for the company to meet its obligations under these Regulations are identified.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(n) must include the</p>	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
following content and linkages to other management system elements: <ul style="list-style-type: none"> • How the process links to the process for managing documents OPR paragraph 6.5(1)(o); and • How the process links to the process for managing records OPR paragraph 6.5(1)(p). 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(n) establish and implement a process for identifying the documents required for the company to meet its obligations under these Regulations.

Information Request Reference Number	Information Request	Company Response ¹⁴
1	Make available the company’s documented process for s. 6.5(1)(n).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company identifies documents required to meet obligations under these Regulations.	<insert response>
5	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
6	Demonstrate through records that the process for identifying required documents has been used as intended for a minimum three (3) months.	<insert response>

¹⁴ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Establish and implement a process for preparing, reviewing, revising and controlling documents – OPR 6.5(1)(o)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(o) establish and implement a process for preparing, reviewing, revising and controlling those documents, including a process for obtaining approval of the documents by the appropriate authority.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The methods for preparing, reviewing, revising and controlling those documents are defined for the management system and s. 55 programs.
- Company personnel, who have a defined need, have adequate access to the identified documents.
- Documents are managed and controlled using the defined process.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR</p>	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<p>paragraph 6.5(1)(o) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company prepares identified documents; • How the company reviews identified documents; • How the company revises identified documents; • How the company controls identified documents; • How the process links to the company's process for identifying documents OPR paragraph 6.5(1)(n); and • How the process links to the company's process for managing records OPR paragraph 6.5(1)(p). 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(o) establish and implement a process for preparing, reviewing, revising and controlling those documents, including a process for obtaining approval of the documents by the appropriate authority.

Information Request Reference Number	Information Request	Company Response ¹⁵
1	Make available the company's documented process for s. 6.5(1)(o).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the document management process. Examples could be procedures or work instructions.	<insert response>

¹⁵ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ¹⁵
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company prepares, reviews, revises and controls documents.	<insert response>
5	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
6	Demonstrate through records that the manage documents process has been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for generating, retaining, and maintaining records – OPR 6.5(1)(p)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(p) establish and implement a process for generating, retaining and maintaining records that document the implementation of the management system and the programs referred to in section 55 and for providing access to those who require them in the course of their duties.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The company has defined its methods for generating, retaining, and maintaining records.
- Records are documented to demonstrate how the company is implementing its management system and the programs listed in section 55.
- Records are retained so they are traceable and trackable.
- Relevant personnel have adequate access to the records.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the</p>	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<p>documented process steps for OPR paragraph 6.5(1)(p) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company generates their records; • How the company retains their records so they are traceable and trackable; • How the company maintains their records; • How the process links to the process for managing documents OPR paragraph 6.5(1)(o); • How the process links to the process for identifying documents OPR paragraph 6.5(1)(n); and • How the process links to the OPR section for audits OPR paragraph 55. 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(p) establish and implement a process for generating, retaining and maintaining records that document the implementation of the management system and the programs referred to in section 55 and for providing access to those who require them in the course of their duties.

Information Request Reference Number	Information Request	Company Response ¹⁶
1	Make available the company’s documented process for s. 6.5(1)(p).	<insert response>

¹⁶ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ¹⁶
2	Make available any other relevant supporting documentation or records used by the company for the records process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company generates, retains and maintains documents.	<insert response>
5	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
6	Demonstrate through records that the records process has been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for coordinating and controlling the operational activities of employees – OPR 6.5(1)(q)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(q) establish and implement a process for coordinating and controlling the operational activities of employees and other people working with or on behalf of the company so that each person is aware of the activities of others and has the information that will enable them to perform their duties in a manner that is safe, ensures the safety and security of the pipeline and protects the environment.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The methods for coordinating and controlling operational activities are defined.
- Employees and other people working with or on behalf of the company are aware of the activities of others.
- Employee’s operational activities are planned, coordinated, controlled, and managed.
- People working for or on behalf of the company:
 - are pre-qualified for their assigned duties to ensure safety, the security of the pipeline and to protect the environment;
 - are assigned work plans that have been reviewed by the company and are assessed for the interoperation with the work to be performed by other people working on behalf of the company; and
 - have adequate oversight performed by company representatives for their assigned tasks to ensure safety, security of the pipeline and the protection of the environment.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs.

Process	Established	Implemented
<ul style="list-style-type: none"> • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(q) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company coordinates operational activities between employees and others working on its behalf; • How the company controls operational activities of employees; • How the company controls operational activities of persons working on behalf of the company including: <ul style="list-style-type: none"> • review and assessment of their work plans prior to start of work; and • oversight of their work. • How the process links to the company's process for responsibilities OPR paragraph 6.5(1)(l); and • How the process links to the company's process for internal and external communication OPR paragraph 6.5(1)(m). 	<p>staff who use the process within the company; and</p> <ul style="list-style-type: none"> • The approved process has been documented for a minimum three (3) months. 	<ul style="list-style-type: none"> • All documented interacting actions or steps are performed by the company as required; and evidence that the approved process has been in use for a minimum three (3) months.

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(q) establish and implement a process for coordinating and controlling the operational activities of employees and other people working with or on behalf of the company so that each person is aware of the activities of others and has the information that will enable them to perform their duties in a manner that is safe, ensures the safety and security of the pipeline and protects the environment.

Information Request Reference Number	Information Request	Company Response ¹⁷
1	Make available the company's documented process for s. 6.5(1)(q).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the operational control process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company coordinates operational activities of employees.	<insert response>
5	Make available records and documents to demonstrate how the company coordinates operational activities of other people working with or on behalf of the company.	<insert response>
6	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
7	Demonstrate through records that the operational control process has been used as intended for a minimum three (3) months.	<insert response>

¹⁷ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Establish and implement a process for internal reporting of hazards for corrective actions – OPR 6.5(1)(r)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(r) establish and implement a process for the internal reporting of hazards, potential hazards, incidents and near-misses and for taking corrective and preventive actions, including the steps to manage imminent hazards.

Table 1 – Guidance

Outcomes

- The company has defined its methods for internal reporting of hazards, potential hazards, incidents and near-misses.
- Hazards and potential hazards are being reported as required by the company’s process.
- Incidents and near-misses are being reported as required by the company’s process.
- The company has defined how it will manage imminent hazards.
- The company is performing incident and near-miss investigations.
- The company’s investigation methodologies are consistent and appropriate for the scope and scale of the actual and potential consequences of the incidents or near misses to be investigated.
- The company has defined the methods for taking corrective and preventive actions.
- The company can demonstrate through records that all corrective and preventative actions can be tracked to closure.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs.

Process	Established	Implemented
<p>procedures and work instructions; and</p> <ul style="list-style-type: none"> • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(r) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company internally reports hazards, potential hazards, incidents, and near-misses; • How the company manages imminent hazards; • How the company investigates reports of hazards, potential hazards, incidents and near-misses; • How the company identifies, develops, implements and monitors, to completion, corrective and preventative actions; • How the process links to the company's process for risk evaluation OPR paragraph 6.5(1)(e); • How the process links to the company's process for controls OPR paragraph 6.5(1)(f); • How the process links to the company's process for internal and external communication OPR paragraph 6.5(1)(m); and • How the process links to the company's process for coordinating and controlling operational activities OPR paragraph 6.5(1)(q). 	<ul style="list-style-type: none"> • The approved process has been documented for a minimum three (3) months. 	<ul style="list-style-type: none"> • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(r) establish and implement a process for the internal reporting of hazards, potential hazards, incidents and near-misses and for taking corrective and preventive actions, including the steps to manage imminent hazards.

Information Request Reference Number	Information Request	Company Response ¹⁸
1	Make available the company's documented process for s. 6.5(1)(r).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the reporting and investigation process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company internally reports hazards, potential hazards, incidents and near-misses.	<insert response>
5	Make available records and documents to demonstrate how the company takes corrective and preventive actions.	<insert response>
6	Make available records and documents to demonstrate how the company performs investigations.	<insert response>
7	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
8	Demonstrate through records that the reporting and investigation process has been used as intended for a minimum three (3) months.	<insert response>

¹⁸ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Establish and maintain a data management system for monitoring and analyzing trends of hazards – OPR 6.5(1)(s)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(s) establish and maintain a data management system for monitoring and analyzing the trends in hazards, incidents and near-misses.

Table 1 – Guidance

Outcomes

- The company has established and maintains a data management system.
- The company’s data management system can demonstrate all information is traceable and trackable to its hazards, incidents and near misses.
- The company is analyzing and trending data collected from hazards, incidents and near-misses.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above requirements, the documented steps for OPR paragraph 6.5(1)(s) must include the following content and</p>	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
linkages to other management system elements: <ul style="list-style-type: none"> • How the company maintains the data management system; • How the company conducts its monitoring, trending and analysis of collected data; • How the process links to the company's process for hazard identification and analysis OPR paragraph 6.5(1)(c); and • How the process links to the company's process for reporting and investigation OPR paragraph 6.5(1)(r). 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(s) establish and maintain a data management system for monitoring and analyzing the trends in hazards, incidents and near-misses.

Information Request Reference Number	Information Request	Company Response ¹⁹
1	Make available the company's data management system for s. 6.5(1)(s).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the data management system. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how the system applies to all OPR s. 55 programs.	<insert response>
4	Make available records and documents to demonstrate how the company's data management system monitors and analyzes trends.	<insert response>

¹⁹ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ¹⁹
5	Demonstrate that the data management system has been approved for minimum three (3) months.	<insert response>
6	Demonstrate through records that the data management system has been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for developing contingency plans for abnormal events – OPR 6.5(1)(t)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(t) establish and implement a process for developing contingency plans for abnormal events that may occur during construction, operation, maintenance, abandonment or emergency situations.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The company has methods for developing contingency plans for abnormal events that include construction, operations, maintenance, abandonment, and emergency situations.
- The company’s contingency plans are developed, maintained, and apply to all s. 55 programs.
- The company has the ability to implement contingency plans when required, for one or all s. 55 programs at the same time.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR</p>	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and • Evidence that the approved process has been in use for a minimum three (3) months.

Process	Established	Implemented
<p>s. 6.5(1)(t) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • When does the company need to develop contingency plans; • How the company develops contingency plans for abnormal events; • How the process links to the company's process for risk evaluation OPR paragraph 6.5(1)(e); • How the process links to the company's process for controls OPR paragraph 6.5(1)(f); • How the process links to the company's process for coordinating and controlling operational activities OPR paragraph 6.5(1)(q); and • How the process links to OPR s. 32 and s. 34 emergency management program. 		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(t) establish and implement a process for developing contingency plans for abnormal events that may occur during construction, operation, maintenance, abandonment or emergency situations.

Information Request Reference Number	Information Request	Company Response ²⁰
1	Make available the company's documented process for s. 6.5(1)(t).	<insert response>

²⁰ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ²⁰
2	Make available any other relevant supporting documentation or records used by the company for the contingency plan process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company develops contingency plans for abnormal events for the life cycle of a pipeline and emergency situations.	<insert response>
5	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
6	Demonstrate through records that the contingency plan process has been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a process for inspecting and monitoring company activities for effectiveness – OPR 6.5(1)(u)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(u) establish and implement a process for inspecting and monitoring the company’s activities and facilities to evaluate the adequacy and effectiveness of the programs referred to in section 55 and for taking corrective and preventive actions if deficiencies are identified.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The company has developed methods for inspecting and monitoring their activities and facilities.
- The company has developed methods to evaluate the adequacy and effectiveness of the programs referred to in s. 55.
- The company has developed methods for taking corrective and preventive actions when deficiencies are identified.
- The company is completing inspections and monitoring activities as per the company’s process.
- The company retains records of inspections, monitoring activities, and corrective and preventive actions implemented by the company.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and

Process	Established	Implemented
<ul style="list-style-type: none"> • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(u) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company determines inspection and monitoring requirements for the company’s activities and facilities; • How the company evaluates the adequacy and effectiveness of s. 55 programs; • How the company identifies, develops, and implements corrective and preventive actions; • How the company maintains records of inspections, monitoring, and corrective and preventive actions; • How the process links to: <ul style="list-style-type: none"> • controls process OPR paragraph 6.5(1)(i); • quality assurance program OPR paragraph 6.5(1)(w); and • program audits OPR s. 55(1). 		<ul style="list-style-type: none"> • Evidence that the approved process has been in use for a minimum three (3) months.

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(u) establish and implement a process for inspecting and monitoring the company’s activities and facilities to evaluate the adequacy and effectiveness of the programs referred to in section 55 and for taking corrective and preventive actions if deficiencies are identified.

Information Request Reference Number	Information Request	Company Response ²¹
1	Make available the company's documented process for s. 6.5(1)(u).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for the inspection and monitoring process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company inspects and monitors company's activities and facilities.	<insert response>
5	Make available records and documents to demonstrate how the company evaluates the adequacy and effectiveness of the s. 55 programs.	<insert response>
6	Make available records and documents to demonstrate that the company is taking corrective and preventive actions if deficiencies are identified.	<insert response>
7	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
8	Demonstrate through records that the inspection and monitoring process has been used as intended for a minimum three (3) months.	<insert response>

²¹ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Establish and implement a process for evaluating the adequacy and effectiveness of company’s management system – OPR 6.5(1)(v)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(v) establish and implement a process for evaluating the adequacy and effectiveness of the company’s management system and for monitoring, measuring and documenting the company’s performance in meeting its obligations under these Regulations.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The company has developed methods for evaluating the adequacy and effectiveness of their management system.
- The company’s management system has been evaluated for adequacy and effectiveness.
- The company’s performance in meeting its obligations under these Regulations has been monitored, measured and is documented.
- The company has implemented corrective actions based on the results of its monitoring and measuring the adequacy and performance of its management system.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and

Process	Established	Implemented
<p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(v) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company evaluates the adequacy and effectiveness of the company's management system; • How the company monitors, measures and documents the company's performance in meeting its obligations under these Regulations; • How the process links to the company's process for inspection and monitoring OPR paragraph 6.5(1)(u); and • How the process links to the company's process for the annual report OPR paragraph 6.6(1)(b). 		<ul style="list-style-type: none"> • Evidence that the approved process has been in use for a minimum three (3) months.

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(v) establish and implement a process for evaluating the adequacy and effectiveness of the company's management system and for monitoring, measuring and documenting the company's performance in meeting its obligations under these Regulations.

Information Request Reference Number	Information Request	Company Response ²²
1	Make available the company's documented process for s. 6.5(1)(v).	<insert response>

²² Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Information Request Reference Number	Information Request	Company Response ²²
2	Make available any other relevant supporting documentation or records used by the company for the adequacy and effective process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company evaluates the adequacy and effectiveness of the company's management system.	<insert response>
5	Make available records and documents to demonstrate how the company monitors, measures and documents the company's performance in meeting the obligations under these Regulations.	<insert response>
6	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
7	Demonstrate through records that the evaluation and monitoring process has been used as intended for a minimum three (3) months.	<insert response>

Establish and implement a quality assurance program – OPR 6.5(1)(w)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(w) establish and implement a quality assurance program for the management system and for each program referred to in section 55, including a process for conducting audits in accordance with section 53 and for taking corrective and preventive actions if deficiencies are identified.

Table 1 – Guidance

Outcomes

- The company has a compliant quality assurance program.
- The quality assurance program comprises an integrated set of processes and procedures including inspections, monitoring, and auditing activities.
- The company’s quality assurance program tests the adequacy and effectiveness of its management system.
- The company’s quality assurance program examines each program referred to in section 55.
- The company’s quality assurance program conducts compliance and program audits as well as inspections.
- The company’s quality assurance program takes corrective and preventive actions if deficiencies are identified.
- The company regularly monitors and evaluates its quality assurance program to check that the program is achieving the intended results.
- The company retains records of the quality assurance program monitoring, evaluation and completion of corrective and preventive actions.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs.

Process	Established	Implemented
<p>procedures and work instructions; and</p> <ul style="list-style-type: none"> • Describes how it is integrated or is used in connection with each s. 55 program. <p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(w) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company plans, manages and monitors its quality assurance program; • How the company monitors and evaluates its quality assurance program; • How the company plans, schedules, and executes OPR required audits; • How the company develops, implements and follows, until closure, all corrective and preventive actions initiated as a result of its quality assurance program; • How the company communicates its quality assurance program and audit results through its OPR paragraph 6.6(1)(b) requirements; • How the process links to the company's process for records OPR paragraph 6.5(1)(p); • How the process links to the company's process for conducting inspections and audits OPR s. 53(1); and • How the process links to the company's process for 	<ul style="list-style-type: none"> • The approved process has been documented for a minimum three (3) months. 	<p>All documented interacting actions or steps are performed by the company as required; and</p> <p>Evidence that the approved process has been in use for a minimum three (3) months.</p>

Process	Established	Implemented
conducting program audits OPR s. 55(1) .		

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(w) establish and implement a quality assurance program for the management system and for each program referred to in section 55, including a process for conducting audits in accordance with section 53 and for taking corrective and preventive actions if deficiencies are identified.

Information Request Reference Number	Information Request	Company Response ²³
1	Make available the company's documented process for s. 6.5(1)(w).	<insert response>
2	Make available any other relevant supporting documentation or records used by the company for its quality program. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this program is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company conducts OPR s.53 audits.	<insert response>
5	Make available records and documents to demonstrate how the company takes corrective and preventive actions for deficiencies.	<insert response>
6	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
7	Demonstrate through records that the quality assurance program and audits have been used as intended for a minimum three (3) months.	<insert response>

²³ Notes:

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.

Establish and implement a process for conducting an annual management review – OPR 6.5(1)(x)

OPR s. 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(x) establish and implement a process for conducting an annual management review of the management system and each program referred to in section 55 and for ensuring continual improvement in meeting the company’s obligations under these regulations.

Table 1 – Guidance

Outcomes

- The company has a compliant process that is established and implemented.
- The company’s methods for conducting the management review are defined.
- The company has defined methods for reviewing the management system and each s. 55 program.
- The company has maintained records to demonstrate the achievement of meeting obligations under these Regulations is continually improved;
- The company has identified, developed, and implemented corrective actions as part of its continual improvement.

Process	Established	Implemented
<p>To be compliant, ensure the process addresses the following:</p> <ul style="list-style-type: none"> • Describes the purpose, scope, objective and specific results that the process is intended to achieve; • Describes the series of interacting actions or steps that take place in an established order; • Defines the roles, responsibilities and authorities of staff to ensure the process is followed appropriately; • Where required, references other relevant processes, procedures and work instructions; and • Describes how it is integrated or is used in connection with each s. 55 program. 	<p>To demonstrate that the process is established, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The process documentation is developed in the format required by the company; • The process is approved and endorsed for use by the appropriate level of management as established by the company’s management system; • The process is communicated, and training is provided to all staff who use the process within the company; and • The approved process has been documented for a minimum three (3) months. 	<p>To demonstrate that the process is implemented, ensure the following are addressed:</p> <ul style="list-style-type: none"> • The company provides evidence, such as records, forms or completed templates, demonstrating the ongoing active use of the process for the management system and the s. 55 programs by the appropriate staff; • Further evidence can include records demonstrating how the process interacts with others in the management system and s. 55 programs. • All documented interacting actions or steps are performed by the company as required; and

Process	Established	Implemented
<p>In addition to the above process definition requirements, the documented process steps for OPR paragraph 6.5(1)(x) must include the following content and linkages to other management system elements:</p> <ul style="list-style-type: none"> • How the company conducts its management review of both the management system and each s. 55 program; • How the company identifies, develops and implements corrective actions as part of the management review; • How the process links to: <ul style="list-style-type: none"> • internal and external communication process OPR paragraph 6.5(1)(m); • records process OPR paragraph 6.5(1)(p); • inspection and monitoring process OPR paragraph 6.5(1)(u); and • audits and inspections OPR s. 53. 		<ul style="list-style-type: none"> • Evidence that the approved process has been in use for a minimum three (3) months.

Table 2 – Information Request

OPR subsection 6.5(1) A company shall, as part of its management system and the programs referred to in section 55,

(x) establish and implement a process for conducting an annual management review of the management system and each program referred to section 55 and for ensuring continual improvement in meeting the company’s obligations under these regulations.

Information Request Reference Number	Information Request	Company Response ²⁴
1	Make available the company’s documented process for s. 6.5(1)(x).	<insert response>

²⁴ Notes:

Information Request Reference Number	Information Request	Company Response ²⁴
2	Make available any other relevant supporting documentation or records used by the company for the management review process. Examples could be procedures or work instructions.	<insert response>
3	Make available documentation or records of how this process is being integrated with each applicable OPR s. 55 program.	<insert response>
4	Make available records and documents to demonstrate how the company conducts the annual management review.	<insert response>
5	Make available records and documents to demonstrate how the company conducts the annual management review for each program in s. 55.	<insert response>
6	Make available records and documents to demonstrate how the company ensures continual improvement for meeting its obligations under these Regulations.	<insert response>
7	Demonstrate that the documented process has been approved for minimum three (3) months.	<insert response>
8	Demonstrate through records that the annual management review process has been used as intended for a minimum three (3) months.	<insert response>

The CER Lead Auditor will discuss with the auditee methods for provision of referenced documents and records to demonstrate compliance.

Auditee response should be provided as a reference to a specific document name including section and/or page number.