

## Annual Audit Planning

The Mine Audits and Effectiveness Unit (the Audit Unit) conducts audits to determine the effectiveness of the regulatory system for mining in British Columbia in protecting the public, workers and the environment. Each year, we will conduct a planning process to select priority audit topics, which will be published in our annual Audit Plan and posted on our webpage. As we conduct this work, we will engage closely with our Indigenous partners and key stakeholders.

### What will the audits examine?

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Each audit will focus on an area of mining operations that is regulated by the Ministry of Energy, Mines and Petroleum Resources (the Ministry). In conducting an audit, we will assess the effectiveness of mining regulation in this area based on an assessment of:

- mining sector compliance, safety and environmental performance
- Ministry policies, programs, practices and actions
- current regulatory requirements

Each audit will culminate in a public report with audit conclusions and recommendations to improve mining regulation, with consideration of global best practice. We take a trend-based approach to our audits. Audits will not focus on specific mining operations, nor will they comment on the actions of individual Ministry staff members.

### How does the Audit Unit select priority audit topics?

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The Audit Unit will rely on multiple information sources to identify potential audit topics, including industry trends, previous audit findings, and suggestions from stakeholders and our Indigenous partners.

All potential audit topics will be evaluated for consistency with the Audit Unit's mandate. Where a topic better relates to another program area or public body, we may redirect this information accordingly. Where a topic aligns with our mandate, it will be assessed and prioritized based on key factors, such as risk, the potential for adding value to mining regulation and available Audit Unit resources.

The Audit Unit will formulate an Audit Plan for each fiscal year based on the selected priority audit topics. Topics that are not prioritized in a particular year may be considered in future years.

### How can I submit a potential audit topic?

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For consideration in the Audit Plan for 2020/21, you can submit potential topics until **May 8, 2020** following the steps outlined in the **Audit Topic Submission Form** via our email address: [Mine.Audits@gov.bc.ca](mailto:Mine.Audits@gov.bc.ca). Any topics received after this date will be logged and considered for future years.

# Audit Topic Submission Form

## Instructions:

- Please use this form to submit an audit topic for consideration by the Mine Audits and Effectiveness Unit.
- Currently the Audit Unit is accepting topics that are either:
  - an area of mining operations for which the Ministry has regulatory oversight; or
  - an emerging trend in the mining sector that may pose a risk to worker health and safety or the environment.
- Consider the following questions when developing a topic for submission:
  - Do you see evidence of unmitigated or inadequately mitigated risks to workers or the environment in certain areas of mining operations?
  - Are there any regulatory requirements that you think the mining sector has difficulty complying with?
  - Are there areas of the Ministry's regulatory framework that may be misaligned with global or technical best practice?
  - Are there recent changes in the industry, regulatory requirements or Ministry policies that may warrant an effectiveness assessment?
- In completing this form, please make note of the mandatory information (denoted by \*) and ensure you provide sufficient detail for the Audit Unit to consider and evaluate your topic. If you wish to allow the Audit Unit to be able to contact you with follow-up questions, please provide your contact information.
- Individuals or organizations may submit topics to the Audit Unit in a different format (e.g., letter). Please ensure that any alternative formats capture the mandatory information set out below.

CONTACT INFORMATION		
ORGANIZATION NAME		
CONTACT NAME	PHONE NUMBER	EMAIL ADDRESS
AUDIT TOPIC INFORMATION		
Provide a brief description of your topic, including any relevant context*		

Provide a rationale for why you think your topic should be a priority for the Audit Unit\*

Information is collected by the Mine Audits and Effectiveness Unit under Section 26(c) of the *Freedom of Information and Protection of Privacy Act* and will be used for the purpose of conducting and completing audits, supporting the improvement of mining regulation in British Columbia and ensuring the protection of workers and the environment. Should you have any questions about the collection of personal information, please contact:

Manager, Audit Policy  
PO Box 9320 Stn Prov Govt  
Victoria, B.C. V8W 9N3  
- or -  
[Mine.Audits@gov.bc.ca](mailto:Mine.Audits@gov.bc.ca)