



Internal Auditor Code of Conduct and Ethics

CONDUCT

Auditors shall:

- Not be associated with any report, statement or representation known to be false or misleading;
- Not represent themselves as employees or contractors for AgSafe at any time;
- Auditors shall be professional in their conduct and speech with all persons involved with the audit, including the company employees, contractors, and AgSafe staff;
- Auditors will strive to achieve the highest quality and effectiveness in both the process and products of their professional work;
- Conduct the audit as instructed by the audit protocol without bias, prejudice, variance or compromise;
- Assist with any post audit questions, such as recommendations or explanations of results;
- Willingly and openly share their collective knowledge and always be in the pursuit of the truth and enhancement of health and safety.

ETHICS

Auditors shall:

- Be consistent and accurate in their evaluations of data obtained through documentation, interviews and observation;
- Strive to be complete in their evaluations and avoid any omissions;
- Separate fact from opinion clearly and concisely in their evaluations.
- Commit to honest, thorough and straightforward communication in the performance of audit activities;
- Continually seek to maintain and improve their proficiency, effectiveness and quality of their skills;
- Take all reasonable steps to protect the confidentiality of the audit results, data collected and the anonymity of interviewees;

MAINTENANCE REQUIREMENTS

Approved COR program auditors are required to keep current on auditing quality standards, audit instrument use, opportunities for improvement and maintain their auditing skills. To this end, COR auditors must:

- Be re-approved at least once every three years and complete AgSafe's auditor recertification training over the three-year auditor certification period to be eligible for re-approval.
- Conduct a minimum of two audits within the three-year period between their initial approval certification and their re-approval.



AUDITOR PENALTIES:

The Code of Conduct and Ethics is the accepted practices that surround the auditor during the audit process. Violations of these are considered to be serious in nature and will result in swift intervention by AgSafe. In particular, the following penalties may be administered to the auditor for violations of the Code depending on the situation:

1. Formal letter advising the auditor of the violation, a restatement of the required standard, and a stipulation to not have this reoccur.
2. A requirement to have retraining undertaken by the auditor
3. Suspension of the auditor's certification
4. Permanent removal of the auditor's certification

All penalties against an auditor will involve a full investigation before any actions are taken. AgSafe is not required to apply progressive discipline in situations which are serious in nature and warrant severe penalties up to and including permanent removal of certification. Penalties may include a combination of discipline, such as suspension as well as a requirement to be retrained in the program.

As part of the Code of Conduct and Ethics, auditors will cooperate fully with an inquiry in the event of a breach of this Code of Conduct and Ethics. The fact that a particular conduct is not mentioned in this document does not prevent an action from being unacceptable, and therefore, an auditor can be liable for disciplinary action.

In no event will AgSafe be liable to a participating auditor, or to anyone claiming through or under it, for any claim or loss, including, without limitation, any claim for loss of profits, indirect costs or consequential damages.

Agreement:

I, _____ have read and understand AgSafe's auditor Code of Conduct and Ethics as stated above. I agree with the above requirements and will adhere to these rules. As an auditor I realize that any breach of the Code of Conduct & Ethics may result in a formal review and/or loss of certification.

Signature _____

Date _____

Company Name: _____