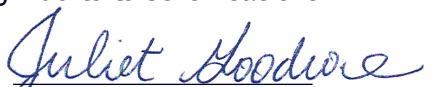




# SMALL EMPLOYER CERTIFICATE OF RECOGNITION (SECOR) ASSESSOR AUDIT REGISTRATION

Effective Date: 2019 - 01 - 01

Owned by: Juliet Goodwin  
Manager, Safety Audits & Certifications

Approval: 

Approved By: Juliet Goodwin  
Manager, Safety Audits & Certifications

Valid Until: 2022 - 01 - 01

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## SUMMARY OF CHANGES

This Summary shows:

- All changes from last approved and published document
- The location within the document where the changes have been made

Version	Date	Author(s)	Revision Notes
0.1	January 1, 2019	Melissa Mass	This is the first revision of the SECOR Assessor Audit Registration Procedure. This revision brings the Procedure template into alignment with the templates used by the Governing Documents Framework.



Requirements changed in the new revision will be identified with a revision triangle beside it.

## SUMMARY OF REVIEWERS

The following people were involved in the review of this Procedure.

Name	Position
Juliet Goodwin	Manager, Safety Audits & Certifications
Justin Degagne	Program Manager, Training
SA&C Team	Subject Matter Experts (SME)

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## 1.0 ABOUT THIS PROCEDURE

### 1.1 Purpose and Direction

The Small Employer Certificate of Recognition (SECOR) assessor has a responsibility to register each assessment with Energy Safety Canada prior to its start date. The SECOR Audit Registration System provides support, guidance and enhanced customer service to both the employer and assessor. The system also enhances Energy Safety Canada's ability to manage its resources, as it tracks the approximate submission date of each assessment.<sup>1</sup>

### 1.2 Scope

This procedure applies to the SECOR assessors, or consultants/contractors assisting in registering a SECOR assessment. An Energy Safety Canada certified external auditor will not fall under this procedure as a SECOR assessor unless they are looking to achieve SECOR certification for their own company.

If a small employer would like to hire an Energy Safety Canada external auditor to perform their SECOR assessment, the employer and auditor would need to follow the requirements of procedures SAC-PRO-016: Audit Registration<sup>2</sup> and SAC-PRO-006: SECOR Audit Conducted by an External Auditor<sup>3</sup>.

### 1.3 Target Audience

The target audience for this document is all Energy Safety Canada personnel in any work location. This includes employers and auditors.

## 2.0 DEFINITIONS

### Small Employer:

- A company with 10 or less employees under their WCB account number. This includes owners of the company.
  - If an individual owns more than one company falling under the Small Employer definition and wants to obtain SECOR certification for both, they must request prior approval as per SAC-PRO-058: Group Audit of Related Employers<sup>4</sup>.

### SECOR Assessor:

- An owner or employee of the company who has a good understanding of all operations and has completed the required Energy Safety Canada initial or refresher training courses under the SECOR program.
  - Individuals who do not have the required training are not permitted to register (or submit) assessments on behalf of the SECOR assessor. This includes use of the assessor's login or password. If the assessor requires

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assistance, an individual can be present as the assessor completes the registration process.

**Consultant/Contractor:**

- An individual not employed by the company who has been hired to assist in the completion of the SECOR assessment.
- Must have completed the required Energy Safety Canada training courses under the SECOR program.

## **3.0 AUDIT REGISTRATION**

3.1 The following training requirements must be met before registering a SECOR assessment:

- The assessor must have completed the Energy Safety Canada Safety Program Development course. If the registration is submitted without valid training, the registration will not be accepted.
- If it has been three or more years since taking the initial Safety Program Development course, the assessor must first complete one of the Energy Safety Canada refresher training courses listed below. If the assessment registration is submitted without valid training, the registration will not be accepted. Training courses include:
  - Hazard Management
  - Incident and Accident Investigation
  - Supervisor Leadership for Health & Safety in the Workplace, or
  - Oilfield Driver Awareness

3.2 At times, a refresher course may be cancelled due to unforeseen circumstances. In this situation, the assessor must register in the next practicable course from the list above. Completion of the course will be required prior to the assessment registration submission, or the assessment registration will not be accepted.

3.3 Once training or refresher training is complete, the individual is considered the SECOR assessor for the employer they are registering the assessment for.

3.4 In cases where a consultant/contractor has been hired, as outlined in the Definitions Section of this procedure, both the consultant/contractor and the employer's SECOR assessor must have training that is complete and up to date. If either party does not have valid training, the assessment registration will not be accepted.

3.5 Payment must be received prior to an assessment registration being approved.

- All payments for Energy Safety Canada fees will need to come directly from the employer seeking the SECOR certification or maintenance assessment. No payment from the consultant/contractor will be accepted

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3.6 The assessor is responsible for the following regarding SECOR assessment registrations:

- Registering all SECOR assessments with Energy Safety Canada prior to starting the assessment
- Paying of all applicable fees to Energy Safety Canada
- Ensuring assessor training is current; registrations are not accepted if the assessor’s training is not current
- Providing accurate and current WCB information on the registration
- Registrations for multiple companies are not accepted. Exceptions are granted if the employers have shared ownership and health and safety management systems<sup>5</sup>.

## 4.0 ROLES AND RESPONSIBILITIES

<b>Assessor</b>	<ul style="list-style-type: none"> <li>• Review SAC-PRO-039<sup>6</sup>, to ensure compliance with Energy Safety Canada’s program requirements</li> <li>• Be available to conduct the assessment in its entirety</li> <li>• Have the required training up to date</li> <li>• Register the assessment prior to the planned start date</li> <li>• Considerations should be made when selecting a start date to allow enough time for the following:             <ul style="list-style-type: none"> <li>○ For non-member employers, to make necessary payment to Energy Safety Canada</li> <li>○ For Energy Safety Canada to perform required quality assurance checks on the assessment registration</li> </ul> </li> <li>• Assess requirement for additional applications for team assessments, assessment plans, or one assessment covering multiple companies</li> <li>• Provide information in a timely manner as requested by Energy Safety Canada to assist with the assessment registration process</li> <li>• Notify Energy Safety Canada of any changes or cancellations, as soon as they occur, to the original approved assessment registration. Details must be given by clicking on the Change Request button in the Auditor Portal of the Energy Safety Canada website.</li> </ul>
<b>Employer</b>	<ul style="list-style-type: none"> <li>• Review SAC-PRO-039<sup>7</sup>, to ensure compliance with Energy Safety Canada’s program requirements</li> <li>• Have an active health and safety management system in place</li> <li>• Select a qualified Energy Safety Canada assessor who is available to conduct the assessment in its entirety, from the registration process through to data gathering and report approval</li> </ul>

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	<ul style="list-style-type: none"> <li>• Ensure all contractor hiring procedures are followed including having a written agreement on the contract details when hiring an External Auditor.</li> <li>• Provide the assessor with current and accurate WCB account information, assessment cycle, purchase order number, and worksite and employer information, which are required at the time of registration</li> <li>• Submit fees to Energy Safety Canada once notification of registration is received. Delayed payment of fees will result in a delay of the assessment commencement</li> <li>• Remain engaged in the assessment process to ensure the assessment is conducted and submitted within the program requirements as per the contract details agreed to with the assessor</li> <li>• Assign a key staff that is knowledgeable of the health and safety system to be the key contact for the assessor for the duration of the assessment</li> </ul>
<p><b>Energy Safety Canada</b></p>	<ul style="list-style-type: none"> <li>• Confirm the SECOR registration</li> <li>• Request any missing or additional information from the employer and/or assessor</li> <li>• Register the required information with applicable government body online systems</li> <li>• Review and process the assessment registration in a timely manner, including invoicing and sending payment required notices to the employer</li> <li>• Communicate assessment registration approval or non-approval to the employer and auditor</li> </ul>

## 5.0 REFERENCE DOCUMENTS

<sup>1</sup> SAC-MNL-001 Department Manual

<sup>2</sup> SAC-PRO-016 Audit Registration

<sup>3</sup> SAC-PRO-006 SECOR Audit Conducted by an External Auditor

<sup>4</sup> SAC-PRO-058 Group Audit of Related Employers

<sup>5</sup> SAC-PRO-058 Group Audit of Related Employers

<sup>6</sup> SAC-PRO-039 Use of Corporate Auditors

<sup>7</sup> SAC-PRO-039 Use of Corporate Auditors

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