



SMALL EMPLOYER CERTIFICATE OF RECOGNITION (SECOR) ASSESSMENT CONDUCTED BY AN EXTERNAL AUDITOR

Effective Date: 2018 - 08 - 29
Owned by: Safety Audits and Certification Department

Approval: _____
Approved By: Justin Degagne, SA&C Acting Manager

Valid Until: 2021 - 08 - 29

Sensitivity Level: Public



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

Location of Change	Summary of Change
Entire Document	This is the first revision of the Small Employer Certificate of Recognition (SECOR) Assessment Conducted by An External Auditor. 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
Justin Degagne	Acting Manager, Safety Audits and Certifications
SA&C Team	Subject Matter Experts (SME)

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1.0 ABOUT THIS PROCEDURE

1.1 Purpose and Direction

Small employers in the Small Employer Certificate of Recognition (SECOR) program may choose to use an Energy Safety Canada certified external auditor to perform their SECOR certification or maintenance audits. While many of the policies and procedures of the SECOR audit conducted by a SECOR assessor are applicable, there are some important differences that are captured in the policy below.

1.2 Scope

This policy applies to employers who choose to use an Energy Safety Canada certified external auditor to perform their SECOR certification or maintenance audit. In the case of the Medium Size Employer Certificate of Recognition (MECOR) Process, a SECOR Audit conducted by an Energy Safety Canada certified external auditor is required in the certification year. The policies and procedures regarding SECOR employers and SECOR audits conducted by a SECOR assessor are applicable to audits carried out by an Energy Safety Canada certified external auditor unless otherwise stated in the following policy and procedure.

1.3 Reference

This procedure is developed in accordance with SAC-MNL-001.

1.4 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 PROCEDURE

2.1 The following training requirements must be met:

- The owner, most senior operational person, or employee familiar with the overall operation must have successfully completed the Energy Safety Canada Safety Program Development course. If the training has not been completed at the time of audit registration or submission the audit registration would be deemed invalid as it would not meet the program requirements.
- Refresher course requirements outlined in [SAC-PRO-005: SECOR Audit Conducted by a SECOR Assessor](#), apply as well.
- The auditor performing the SECOR audit must be a current Energy Safety Canada certified external auditor in good standing and listed on the Energy Safety Canada certified external auditor list posted on the Energy Safety Canada website.

2.2 The SECOR audit conducted by an Energy Safety Canada certified external auditor must:

- Register the audit prior to the audit starting.
- Provide all necessary and accurate information on the audit registration. Failure to do so will result in the audit registration being rejected.

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2.3 Perform using the current Energy Safety Canada's most current SECOR External Audit Protocol by:

- Logging into the Auditor Portal and downloading the SECOR Audit protocol.
- Ensuring the documentation, observation, interview and report writing requirements outlined in the SECOR External Audit Protocol must be met when conducting and submitting the SECOR audit report.
- Ensuring that evidence of correct application of the validation methods directed by the audit document has been completed.
- Providing notes within the audit protocol that justify scoring.
- Providing strengths for each audit element.
- Providing recommendations for all questions that scored less than full marks.
- Providing an action plan addressing any deficiencies noted in the audit report.

2.4 Adhere to the standard audit timeline requirements of SECOR audits.

- This includes a 15-day limit for onsite information gathering activities and a 21-day limit to submit the audit report after the last day of onsite information gathering activities.
- Energy Safety Canada may approve additional time for SECOR assessments in extenuating circumstances. Prior approval is required.
- The auditor has 15 days from time of notification to address any required corrections arising from the audit Quality Assurance (QA) review.

2.5 The audit submission must be signed by both the external auditor and the employer who has taken the required Energy Safety Canada training under the SECOR program.

2.6 The auditor will have 15 days from start date to the last date on site and 21 days from the last day on site to Energy Safety Canada receiving the audit submission.

2.7 Energy Safety Canada shall perform an audit QA review on all SECOR audits conducted by external auditors in accordance with [SAC-PRO-003: SECOR Audit Quality Assurance Review](#).

2.7.1 Energy Safety Canada shall maintain the audit QA review and action plan documents until the employer's subsequent audit is completed.

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3.0 ROLES & RESPONSIBILITIES

Employer	<ul style="list-style-type: none"> • Have a health and safety management system that meets provincial standards. • Review SAC-PRO-39: Outline of Roles and Responsibilities, to ensure an understanding of the program requirements with Energy Safety Canada. • Ensure that the owner, most senior operational person, or employee familiar with the overall operations has successfully completed the Energy Safety Canada Safety Program Development Course and is up to date with the required SECOR Refresher course. • Select an Energy Safety Canada certified external auditor to register, conduct, and submit the audit. • When hiring an Energy Safety Canada certified external auditor ensure all contractor hiring procedures are followed including having a written agreement on the contract details. • Be prepared to provide the auditor with current and accurate WCB account information, audit cycle, worksite and employer information in order to register the audit. • Be prepared to provide payment to Energy Safety Canada for any necessary audit review fees within a timely manner to avoid delays in the audit commencement. • Provide timely information as requested by Energy Safety Canada to assist with the registration process. • Remain engaged in the audit process to ensure the audit is conducted and submitted within the program requirements and as per the contract details agreed to with the auditor. • Assign a key staff that is knowledgeable of the health and safety system to be the key contact for the auditor for the duration of the audit. • Have a process in place to review and create an action plan to address recommendations provided in the audit report. • Ensure all recommendations are implemented prior to the next audit conducted.
Auditor	<ul style="list-style-type: none"> • Review policy 2.1: Outline of Roles and Responsibilities, to ensure an understanding of the program requirements with Energy Safety Canada

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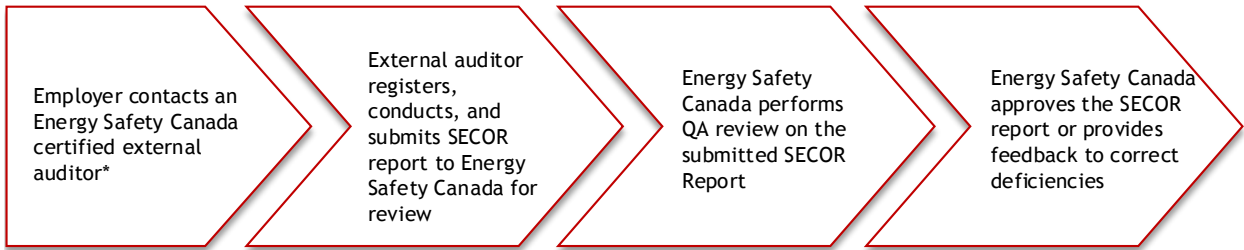
	<ul style="list-style-type: none"> • Register the SECOR audit prior to beginning the audit. • Provide information in a timely manner as requested by Energy Safety Canada to assist with the audit registration process. • Notify Energy Safety Canada of any changes or cancellations, as soon as they occur, to the original approved audit registration details by completing the Audit Change Request through the online registration system • Conduct the SECOR audit using the most current Energy Safety Canada SECOR External Audit Protocol. • Work within time requirements for onsite information gathering, report writing, and responding to quality assurance issues. • Provide the employer with the final form of the SECOR audit report that has passed audit QA review process.
<p>Energy Safety Canada</p>	<ul style="list-style-type: none"> • Collect and verify the following during SECOR audit registration: <ul style="list-style-type: none"> ○ Employer’s Safety Program Development course / refresher course requirements are fulfilled. ○ External auditor’s qualifications. • Perform an audit QA review applicable to the SECOR External Audit Protocol. <ul style="list-style-type: none"> ○ This may include informing the auditor of any deficiencies in the audit report that must be addressed to pass QA review. ○ Confirms any identified deficiencies are adequately addressed by the auditor when the SECOR External Audit is resubmitted. • Inform the auditor of the status of the audit QA review. • Inform the SECOR employer of the status of the audit QA review process. <ul style="list-style-type: none"> ○ Energy Safety Canada will notify both auditor and employer of the requirement to provide the employer with the final version of the audit report. • Follow standard practices with respect to: <ul style="list-style-type: none"> ○ Providing or applying for SECOR certificates for employers that succeed with their SECOR audits for certification purposes. ○ Notifying employers and, as required, updating governing bodies, to confirm successful maintenance of their SECOR. ○ Maintaining a copy of the completed QA review and action plan until the next audit is complete.

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	○ Provide the Government bodies with the necessary audit information

The following is a high-level illustration of the registration process:



* Employers using an external auditor must follow the same requirements as an audit conducted by a SECOR assessor with respect to the owner or most senior operational person, or employee familiar with the overall operations completing the required Energy Safety Canada safety program and refresher courses.

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