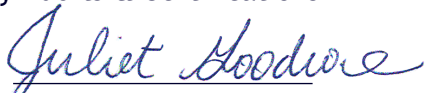




# SECOR ASSESSMENT QUALITY ASSURANCE REVIEW PROCEDURE

Effective Date: March 30, 2022

Owned by: Juliet Goodwin  
Manager, Safety Audits & Certifications

Approval: 

Approved By: Juliet Goodwin  
Manager, Safety Audits & Certifications

Valid Until: March 30, 2025

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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
1.0	January 1, 2019	Melissa Mass	This is the first revision of the SECOR Assessment Quality Assurance Review Procedure. This revision brings the Procedure template into alignment with the templates used by the Governing Documents Framework.
1.1	March 30, 2022	Carol Hockley	Annual Review



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
SA&C Team	Subject Matter Experts (SME)

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## 1.0 ABOUT THIS PROCEDURE

### 1.1 Purpose and Direction

Before a small employer certificate of recognition (SECOR) assessment can be approved for certification or maintenance purposes, it must pass a quality assurance (QA) review by Energy Safety Canada.

Since there are some important differences in the SECOR and COR QA review process, these have been addressed as distinct procedures.

### 1.2 Scope

Reviews of assessment reports completed by a SECOR assessor verify that the submitted documentation is complete and ensure that the employer's Health and Safety Management System meets the minimum provincial standards for SECOR certification or maintenance.

### 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 SECOR ASSESSMENTS PROGRAM

- 2.1 A standardized SECOR assessment QA review form shall be used to evaluate the quality of the assessment report.

Where required, the SECOR assessment QA review forms have been approved by the applicable governing bodies.

- 2.2 Upon receipt of a SECOR assessment, Energy Safety Canada staff shall ensure the SECOR assessor have met the Energy Safety Canada SECOR training requirements. The assessor must be the owner, most senior operational person, or an employee familiar with the overall work operation.

- 2.3 Energy Safety Canada shall confirm that critical data concerning the employer and the SECOR assessor has been submitted. The following data must be included in an assessment report:

- Employer name, address, contact name, phone number, fax number, and email
- SECOR assessor name, phone number, and email
- WCB account number(s) and industry code(s) covered by the
- Start and end dates of data gathering
- Employer profile and number of employees (e.g.: owner, manager, supervisor,

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- worker, contractor)
  - SECOR assessor sign-off
  - Employer sign-off (if different from assessor)
- 2.4 The audit reviewer shall ensure they are applying the recommended practice as outlined in SAC-CFT-024.
- 2.5 When performing an assessment QA review on a SECOR assessment report the audit reviewer shall ensure all questions in the assessment have been sufficiently justified with adequate supporting information. This includes confirming that:
  - Where supporting documents/records are required by the assessment guidelines, adequate and appropriate documents must be attached
  - Supporting documents/records verify the employer's health and safety activities over the previous twelve-month period. Out-of-date, altered or incomplete documents/records may not pass the QA review and be rejected
  - Where notes are required by the assessment guidelines, sufficient quality and quantity of assessor notes are provided to verify a "yes" response
  - The information provided within a question and across all questions is not contradicting each other
  - The assessment instrument and process have been applied and followed as per the assessment guidelines
  - All "no" responses have been addressed by clear and relevant action items in the SECOR action plan form
  - the SECOR assessor generated action plan items (where required) will guide OHSMS improvement
- 2.6 The assessment score for a SECOR assessment will be calculated by the Energy Safety Canada QA reviewer.

To pass in a certification year the SECOR assessment must score a minimum of 80% overall, with no less than 50% in each individual element. For maintenance years, a minimum overall score of 60% must be achieved.
- 2.7 If the SECOR submission fails to meet the minimum required score, Energy Safety Canada shall provide SECOR assessors the opportunity to address any deficiencies found during the QA review process. There are two critical deadlines associated with the assessment correction process:
  - SECOR assessors must return a corrected assessment within 15 days of receiving their assessment QA review feedback asking for clarifications or corrections
  - The total timeline permitted for the assessment QA review/ assessment correction process is 90 days from the assessors receiving their first assessment QA review feedback
- 2.8 Where deficiencies are not sufficiently addressed within this QA timeframe, the QA standards have not been met and the assessment will be marked invalid.
- 2.9 Any system deficiencies in the SECOR assessment must be captured in the SECOR

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action plan form found within the SECOR audit tool.

- 2.10 Deficiencies identified by the QA reviewer that were not originally noted by the SECOR assessor will be noted in the assessment QA review feedback.
- 2.11 Employers are expected to revise their original action plans to account for any additional deficient items identified by the QA reviewer.
- 2.12 Employers with deficient action plans will not be required to submit a revised action plan to pass their assessment QA review.
- 2.13 Employers may be asked to submit their previous year’s action plan to demonstrate or confirm progress on action items.
- 2.14 Upon successful completion of the SECOR assessment QA review process, Energy Safety Canada shall inform the employer and governing bodies in writing.
- 2.15 Energy Safety Canada shall not accept assessment reports for certification or maintenance of certification purposes that fail to meet the quality standards applied in the assessment QA review.

The employer will be informed of a decision by Energy Safety Canada to mark an assessment report invalid that fails to pass the Energy Safety Canada assessment QA review process.

### 3.0 ROLES AND RESPONSIBILITIES

Assessor	<ul style="list-style-type: none"> <li>• The assessor must be the owner, most senior operational person, or an employee familiar with the overall work operation</li> <li>• Review SAC-PRO-039: Outline of Roles and Responsibilities, to ensure compliance with Energy Safety Canada’s program requirements</li> <li>• Must return a corrected assessment within 15 days of receiving their assessment QA review feedback asking for clarifications or corrections</li> </ul>
Employer	<ul style="list-style-type: none"> <li>• Sign off on the SECOR assessment</li> <li>• To revise their original action plans to account for any additional deficient items</li> </ul>
Energy Safety Canada	<ul style="list-style-type: none"> <li>• Ensure the assessor have met the SECOR training requirements</li> <li>• Perform a quality assurance (QA) review on the submitted audit</li> <li>• Shall provide SECOR assessors the opportunity to address any assessment deficiencies identified in the assessment</li> </ul>

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	<ul style="list-style-type: none"><li>• Shall inform the employer and governing bodies in writing of a successfully completed assessment</li><li>• Shall inform the employer of a decision to mark an assessment report invalid that fails to pass the QA review process</li><li>• Shall not accept assessment reports for certification or maintenance of certification purposes that fail to meet the quality standards applied in the assessment QA review</li></ul>
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