



# SMALL EMPLOYER CERTIFICATE OF RECOGNITION (SECOR) ASSESSMENT CONDUCTED BY A SECOR ASSESSOR

Effective Date: 2019 - 01 - 01  
Owned by: Juliet Goodwin  
Manager, Safety Audits & Certifications

Approval:   
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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 Small Employer Certificate of Recognition (SECOR) Assessment Conducted by a SECOR Assessor 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

Small employers may pursue a Small Employer Certificate of Recognition (SECOR) by using Energy Safety Canada's audit standard specifically designed to meet the application and training needs of small employers<sup>1</sup>.

### 1.2 Scope

This procedure applies to SECOR assessors conducting or consultant/contractors assisting with a Small Employer Certificate of Recognition (SECOR) audit.

An Energy Safety Canada certified external auditor would not fall under this procedure as a SECOR assessor unless they are looking to achieve SECOR certification for their own auditing company.

### 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 PROCEDURE

### 2.1 Small employers looking to obtain Energy Safety Canada SECOR certification must:

- 2.1.1 Have had their health and safety management system in place for at least one full year to meet documentation requirements.
- 2.1.2 Employers that have not implemented a health and safety management system for a full year may still be eligible for a one-year SECOR<sup>2</sup>.
- 2.1.3 Have no more than 10 employees at any given time.
  - This includes owners and any person covered by the employer's WCB account
- 2.1.4 If an employer's workforce exceeds 10 employees during a SECOR maintenance year, Energy Safety Canada will still accept the SECOR audit. However, Energy Safety Canada will advise the employer that they are no longer considered to be a small employer.

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The following year the employer must move either into:

- A Medium Employer Certificate of Recognition (MECOR) program that begins with a SECOR certification assessment performed by an Energy Safety Canada certified external auditor; or
- A standard COR program starting with a COR certification audit conducted by an Energy Safety Canada certified external auditor

2.1.5 If an employer's workforce exceeds 10 employees during a SECOR certification year, the employer must do:

- A MECOR program that begins with a SECOR certification assessment performed by an Energy Safety Canada certified external auditor; or
- A standard COR program starting with a COR certification audit

2.1.6 SECOR audits submitted for certification will not be accepted if the employer's operation exceeds 10 employees.

**2.2** The following training requirements must be met before submitting a SECOR audit:

2.2.1 The assessor must have completed the prerequisite Energy Safety Canada Safety Program Development Course. If the audit is submitted without valid training, the audit will not be accepted.

- SECOR assessors that carry current credentials as Energy Safety Canada certified auditors are exempt from this requirement

2.2.2 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 audit is submitted without valid training, the audit 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

2.2.3 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 audit submission, or the audit will not be accepted.

**2.3** Once training or refresher training is complete, the individual is considered the SECOR assessor for the employer they are submitting the audit for.

2.3.1 If the SECOR assessor leaves the employer, the employer must have a replacement trained within 90 days (or earlier if there is an impending SECOR assessment deadline).

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- 2.4** 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 audit submission will not be accepted.
- 2.5** Under the SECOR program, the consultant/contractor role is limited to:
- 2.5.1** SECOR Online audits - Assisting with organization of documentation, scanning documentation to designated folders on the employer's computer, sitting with the employer to assist them as they go through the online registration or submission process.
- 2.5.2** SECOR Binder audits - Assisting with organization of documentation, completing audit questions and reviewing with the SECOR assessor, receiving approval from the SECOR assessor of all areas of the audit prior to submission, ensuring SECOR assessor has signed off on the audit prior to submission. Packaging of audit submission and ensuring the SECOR assessor has submitted within required timeframes.
- 2.6** There are two ways to submit a SECOR audit:
- 2.6.1** Option 1: Online Submission
- The online submission process is intended to provide the SECOR holder with enhanced effectiveness and efficiency for developing, managing and compiling all required documentation for the annual audit
  - Registration is the first step in the Online Submission Process<sup>3</sup>
  - After registration is approved, the assessor would then have access to complete the audit submission process online. The employer has 36 days to complete and submit their audit online
- 2.6.2** Option 2: Binder Submission.
- You may submit the audit by binder via mail or courier. The following must be submitted with the binder submission:
    - Download and complete the SECOR audit protocol found on the Energy Safety Canada website
  - Include payment for all applicable fees to Energy Safety Canada. All payments for Energy Safety Canada fees will need to come directly from the employer seeking the SECOR certification or maintenance audit. No payment from the consultant/contractor will be accepted
  - Ensure assessor training is current, audits are not accepted if the training is not current
  - Provide accurate and current WCB information on the SECOR Summary Sheet provided in the SECOR audit protocol
  - Submit an action plan addressing any deficiencies noted in the previous SECOR report and a signed Energy Safety Canada SECOR Code of Ethics

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## 2.7 Audit Timeframes:

- 2.7.1 Each year annual maintenance audits must be completed by the employer's anniversary date on their SECOR certificate or by the end of the quarter the anniversary date falls in (Q1 - March 31, Q2 - June 30, Q3 - Sept 31 or Q4 - Dec 31).
- 2.7.2 If the anniversary date falls in the last month of the year, the audit must be submitted prior to the end of the calendar year.
- 2.7.3 In extenuating circumstances, Energy Safety Canada may grant more time past the end of the calendar year for the audit to be submitted. This would be no later than January 15.
- If the audit is submitted past January 15, it would be deemed invalid and a new Certification audit would need to be conducted to recertify the employer's SECOR.
- 2.7.4 For Binder submissions: The employer has 15 days from start date to last day on site and another 21 days from last day on site to Energy Safety Canada receiving their audit submission by binder. These dates are provided by the employer on the SECOR Summary Sheet found in the SECOR Audit Protocol.
- The employer has an opportunity to correct any deficiencies identified in their audit report. Corrections must be received by Energy Safety Canada within 15 days from the last feedback date.
- 2.7.5 For Online submissions, the employer has 36 days to complete the online submission process and submit to Energy Safety Canada.
- 2.8 An employer may choose to recertify early by conducting a Certification audit in a maintenance year.
- 2.9 The SECOR audit must pass Energy Safety Canada's audit QA review<sup>4</sup>.
- 2.10 A SECOR assessment for certification must produce a minimum overall score of 80% with 50% or greater in each element.
- 2.11 A SECOR assessment in a maintenance year must produce a minimum overall score of 60% to be accepted for maintenance purposes.
- 2.12 A copy of each SECOR quality assurance (QA) review and action plan shall be kept for a minimum of a year by Energy Safety Canada.

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### 3.0 ROLES & RESPONSIBILITIES

<p><b>Small Employer</b></p>	<ul style="list-style-type: none"> <li>Ensures that the owner 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 or approved refresher courses</li> <li>If the employer is choosing to have a consultant/contractor assist with the audit, ensure the consultant/contractor has also met all the SECOR training requirements</li> </ul>
<p><b>Assessor</b></p>	<ul style="list-style-type: none"> <li>Completes all necessary training requirements as required by the SECOR program</li> <li>Conducts the SECOR audit using the Energy Safety Canada SECOR audit protocol</li> <li>Ensures the information-gathering activities do not exceed 15 days and that the final SECOR report is submitted to Energy Safety Canada within 21 days of completing these activities</li> <li>Signs and adheres to the SECOR Assessor Code of Ethics</li> <li>May be required to provide corrections, clarification, or additional information to address deficiencies noted in the Energy Safety Canada QA review           <ul style="list-style-type: none"> <li>Corrections must be provided within 15 days of being notified by Energy Safety Canada</li> </ul> </li> </ul>
<p><b>Energy Safety Canada</b></p>	<ul style="list-style-type: none"> <li>Verifies that the SECOR Assessor’s training requirements are fulfilled upon submission of the SECOR audit</li> <li>Performs an audit QA review applicable to the SECOR protocol</li> <li>Informs the small employer of the success or failure of their SECOR audit upon completion of the QA review process</li> <li>Provides feedback to the SECOR assessor and employer as appropriate</li> <li>If the certification audit is successful, Energy Safety Canada either provides a SECOR certificate directly or informs the appropriate governing body in order to initiate the SECOR certification process</li> <li>If maintenance audit is successful, Energy Safety Canada records successful maintenance of the SECOR and, where required, notifies the appropriate governing body of successful maintenance of the SECOR</li> </ul>

### 4.0 REFERENCE DOCUMENTS

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- <sup>1</sup> SAC-MNL-001 Department Manual  
 Alberta Government Reference: [7.2 Auditing of SECOR Assessments](#)
  - <sup>2</sup> SAC-PRO-030 One Year Certificate of Recognition
  - <sup>3</sup> SAC-PRO-004 SECOR Assessor Audit Registration
  - <sup>4</sup> SAC-PRO-003 SECOR Assessment Quality Assurance Review

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