



Energy Safety Canada
SECOR External Audit Quality Assurance Review

SMALL EMPLOYER CERTIFICATE OF RECOGNITION (SECOR) EXTERNAL AUDIT QUALITY ASSURANCE REVIEW

Effective Date: August 14, 2024
Owned by: Manager,
Safety Audits & Certifications

Approval: Andy Reimer
Approved By: Manager,
Safety Audits & Certifications

Valid Until: August 14, 2027

Sensitivity Level: Public

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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	August 29, 2018	Melissa Mass	This is the first revision of the Small Employer Certificate of Recognition (SECOR) External Audit Quality Assurance (QA) Review. This revision brings the Procedure template into alignment with the templates used by the Governing Documents Framework.
1.1	October 13, 2021	Juliet Goodwin	3 Year Review
1.2	August 14, 2024	Stephen Heinpalu	3 Year 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
Andy Reimer	Manager, Safety Audits and Certifications
Stephen Heinpalu	Quality Assurance, Safety Audits and Certifications

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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.

This procedure applies to employers who choose to use an Energy Safety Canada certified external auditor to perform their SECOR certification or maintenance audit.

1.2 Target Audience

The target audience for this document is all Energy Safety Canada personnel in any work location. Small Employers who use this option and Auditors with External certification status.

2.0 PROCEDURE

2.1 If an employer chooses to have the SECOR audit conducted by a certified external auditor, the following must be met:

- The owner, most senior operational person, or employee familiar with the overall operations must have taken the Safety Program Development course prior to the start of the employers first certification audit
- The auditor must be certified to use the SECOR instrument
- All validation methods must be used as directed by the audit document
- The SECOR audit report must include strengths and recommendations for each audit element, the completed audit instrument, and an Action Plan addressing all identified deficiencies
- Audit scores must be calculated correctly
- SECOR certification audits must achieve an 80% overall score and no less than 50% in each element to be accepted for SECOR certification purposes
- SECOR maintenance audits must achieve a 60% overall score to be accepted for SECOR maintenance purposes
- SECOR reports must include a signed SECOR Code of Ethics from the assessor and the business owner
- Interview sampling requirements must be met and be representative of the employer's operation

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- 2.2 The auditor must complete the onsite portion of the audit within 15 days and submit the audit report to Energy Safety Canada for QA review within 21 days after the last day of data gathering activities.
- 2.3 Where required, the SECOR audit tool and QA review forms have been approved by the applicable governing bodies.
- 2.4 Energy Safety Canada staff ensures at the time of audit registration that external auditor(s) are qualified.
- 2.5 A standardized SECOR external audit QA review form shall be used to evaluate the quality of the audit report.
- 2.6 Critical data concerning the employer, the external auditor, and audit have been included in the audit report. This includes:
 - Employer name, address, contact name, phone number, fax number, and email
 - External auditor name, phone number, email and auditor certification number
 - WCB account number(s) and industry code(s) covered by the audit
 - Audit start date and last date on site
 - Employer profile and number of employees
 - External auditor sign-off

Critical criteria must also be met and any identified deficiencies in these criteria corrected before the audit report can be approved by the audit Quality Assurance reviewer. Critical criteria include:

- Audit protocol must be applied correctly in scoring each question
 - Audit scores must be fully justified using auditor's notes, and there should be no contradictions between notes and a question's assigned score
 - There should be no contradictions between scoring, auditor's notes and/or recommendations within an element
 - There should be no contradictions between findings from one element to another
 - Scores must be accurately calculated
 - The completed audit report must be professional in appearance
- 2.7 The remaining criteria are scored as part of the QA review:
 - Validation techniques (documentation review, interview, observation) must be applied according to the guidelines
 - Reports must include a listing of health and safety management system strengths and opportunities for improvement, supported by auditor's notes and scoring

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- 2.8 Energy Safety Canada shall provide external auditors the opportunity to address any audit deficiencies identified in the audit QA review process. There are two critical timelines associated with the audit correction process:
- External auditors must return a corrected audit within **15 days** (or less if indicated by Energy Safety Canada) of receiving their audit QA review feedback asking for clarifications or corrections.
 - The total timeline permitted for the audit QA review/audit correction process is **90 days** from the auditors receiving their first audit QA review feedback.
 - Where deficiencies are not sufficiently addressed within this QA timeframe, the QA standards have not been met, therefore the audit will be marked as invalid.
- 2.9 Any deficiencies in the SECOR audit must be captured in an action plan form.
- Deficiencies identified by the QA reviewer that were not originally noted by the external auditor will be noted in the audit QA review feedback.
 - Auditors are expected to revise their original action plans to account for any additional deficient items identified by the QA reviewer.
 - Employers are expected to review the recommendations, assign a target date and person(s) responsible to implement the action items identified.
 - Employers are asked to submit their previous year's action plan at the time of their next audit to demonstrate or confirm progress on action items.
- 2.10 Upon successful completion of the SECOR audit QA review process, Energy Safety Canada shall:
- Inform the employer that they are to expect a final, approved version of the audit report from their auditor.
 - Inform the auditor they are responsible to provide the employer with a final, approved version of the audit.
- 2.11 Energy Safety Canada shall not accept audit reports for certification or maintenance of certification purposes that fail to meet the quality standards applied in the audit QA review.
- The employer and the external auditor will be informed of a decision by Energy Safety Canada to mark an audit report invalid as a result of failing the Energy Safety Canada audit QA review process.

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3.0 ROLES AND RESPONSIBILITIES

Small Employer	<ul style="list-style-type: none"> • Have valid training / refresher training completed • Signed SECOR Code of ethics • Review the final audit report submitted by the auditor to them • Communicate any questions about audit results with the auditor • Implement an action plan to address any deficient items identified by the auditor
External Auditor	<ul style="list-style-type: none"> • Complete the SECOR audit according to Energy Safety Canada's audit standards. Submit their SECOR audit report to Energy Safety Canada within the required timeframes • Submit the approved final report to the small employer
Energy Safety Canada	<ul style="list-style-type: none"> • Ensure all SECOR training requirements for the employer are met • Complete a QA review on the audit report using the appropriate Energy Safety Canada SECOR external audit quality assurance (QA) review form <ul style="list-style-type: none"> ○ The QA review score assigned must be at least 80% • If required, request corrections, clarifications, or additional information

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