



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

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) External Audit Quality Assurance (QA) Review. 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.

Energy Safety Canada Reference: SAC-MNL-001

1.2 Scope

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

1.3 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 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 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 must be met, and be representative of the employer's operation

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To be implemented effective January 1, 2019

The auditor must submit the audit report to Energy Safety Canada for QA review within 21 days after the last day of data gathering activities.

- 2.2 Where required, the SECOR audit QA review forms have been approved by the applicable governing bodies.
- 2.3 Energy Safety Canada staff ensures at the time of audit registration that external auditor(s) are qualified.
- 2.4 A standardized SECOR external audit QA review form shall be used to evaluate the quality of the audit report (see [Appendix O3: SECOR External Audit Quality Assurance \(QA\) Review Forms](#)). This form is used to ensure:
- 2.5 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
- 2.6 Several criteria are critical, and audit reports cannot be approved until the audit reviewer determines that and identified deficiencies have been corrected. These 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 not 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

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- 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
- 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** 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 the 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.
 - Employers are expected to revise their original action plans to account for any additional deficient items identified by the QA reviewer.
 - Employers with deficient action plans will not be required to submit a revised action plan to pass their audit QA review.
 - Employers may be asked to submit their previous year's action plan 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 that fails the Energy Safety Canada audit QA review process.

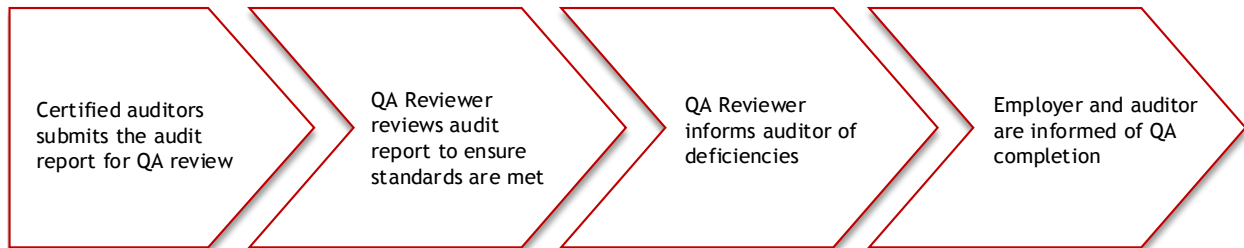
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3.0 ROLES AND RESPONSIBILITIES

<p>External Auditor</p>	<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
<p>Energy Safety Canada</p>	<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

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



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