



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

Effective Date: November 01, 2023

Owned by: Manager,
Safety Audits & Certifications

Approval: 
Approved By: Manager,
Safety Audits & Certifications

Valid Until: November 01, 2026

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

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) Assessment Conducted by An External Auditor. 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	November 01, 2023	Stephen Heinpalu	Revisions made to sections 2.2 & 2.4, and other minor instruction changes to align with new paper version of registration process.

 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 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. 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. 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 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 Training Requirements

2.1.1 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

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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 for the employer, apply as well.

2.1.2 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 Audit Requirements

2.2.1 Register the audit using the [SAC-CFT-156 form](#) provided prior to the audit starting. Audit Registrations must be approved prior to starting the audit.

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

2.2.3 Perform the audit using the current Energy Safety Canada's most current SECOR External Audit Protocol located on the Energy Safety Canada website, under the COR materials and resources / Audit protocol / External SECOR Auditor protocol 2023.

2.2.4 Ensuring the documentation, observation, interview and report writing requirements outlined in the SECOR External Auditor Protocol 2023 must be met when conducting and submitting the SECOR audit report.

2.2.5 Ensuring that evidence of correct application of the validation methods directed by the audit document has been completed.

2.2.6 Providing notes for each audit question within the audit protocol following the instruction /guidance and justify the scoring.

2.2.7 Including an executive summary which outlines a few key strengths and a few key recommendations.

2.2.8 Providing recommendations for all questions that scored less than full marks.

2.3 SECOR Audit Timelines

2.3.1 All SECOR Audit Timelines must be adhered to:

- This includes 15-days from the start date to the last day onsite for onsite information gathering activities and 21-days from the last date on site to finalize and submit the audit report to Energy Safety Canada.
- 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.

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2.4 Audit Submission & QA Review

- 2.4.1 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.
- 2.4.2 Energy Safety Canada shall perform an audit QA review on all SECOR audits conducted by external auditors in accordance with [SAC-PRO-003 SECOR Assessment Quality Assurance Review](#).
- 2.4.3 Energy Safety Canada shall maintain the audit QA review and action plan documents until the employer’s subsequent audit is completed.

3.0 ROLES & RESPONSIBILITIES

Employer	<ul style="list-style-type: none"> • Have a health and safety management system that meets provincial standards. • 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.
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	<ul style="list-style-type: none"> • 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 • 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 notifying Energy Safety Canada using corinfo@energysafetycanada.com • 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.
Energy Safety Canada	<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:

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	<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.○ Provide the Government bodies with the necessary audit information
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4.0 REFERENCE DOCUMENTS

[SAC-CFT-156 External SECOR Audit Registration Form](#)

[SAC-PRO-003 SECOR Assessment Quality Assurance Review](#)

[SAC-PRO-005 SECOR Audit Conducted by a SECOR Assessor](#)

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