



FRAUDULENT CERTIFICATES

Effective Date: October 14, 2021

Owned by: Manager,
Safety Audits and Certifications

Approval: Juliet Goodwin

Approved By: Manager
Safety Audits & Certifications

Valid Until: October 14, 2024

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	March 13, 2019	Melissa Mass	This is the first revision of the Fraudulent Certificates Procedure. This revision brings the Procedure template into alignment with the templates used by the Governing Documents Framework.
1.1	September 29, 2021	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
Juliet Goodwin	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

This procedure outlines how if an employer misrepresents their Certificate of Recognition (COR) status in any way, they may face penalties imposed by the appropriate governing body, including the cancellation of any existing COR(s) held by the employer.

1.2 Scope

In certain cases, employers have been known to modify the expiry dates on their COR or create a counterfeit COR to bid for contracts. To maintain the integrity of the program, the governing bodies have committed to investigating incidents of employer modified CORs, as well as any other employer activities that involve misrepresentation of an employer's COR status, or eligibility for that status.

The governing bodies may impose specific penalties on an offending employer, including the cancellation of CORs for all accounts and industries under their ownership.

As a certifying partner, Energy Safety Canada has a responsibility to bring any occurrences of fraudulent certificates to the governing bodies' attention.

1.3 Target Audience

The target audience for this document is all Energy Safety Canada personnel in any work location. This includes Employers, Auditors and applicable governing bodies.

2.0 PROCEDURE

This section applies to all COR holders of all types, including: COR, Medium Employer Certificate of Recognition (MECOR) and Small Employer Certificate of Recognition (SECOR).

2.1 Energy Safety Canada will forward to the appropriate governing body any concerns raised regarding any employer who may have misrepresented their COR status or their eligibility for COR status.

2.1.1 All concerns reported must be in writing (letter or e-mail) and the complainant's name must be included. Complete the complaint form posted on the Energy Safety Canada website.¹

2.1.2 If an individual wishes to raise their concerns anonymously, the caller will be directed to the Safety Audits and Certifications phone number or email. Energy Safety Canada is unable to fully investigate anonymous concerns

2.2 Energy Safety Canada and the appropriate governing body will investigate allegations that an employer may have:

- altered their COR in any way;
- forged a COR;
- misrepresented a cancelled COR as active;

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- inappropriately influenced the audit results of their COR audit; or
 - misrepresented the number of individuals covered under their account to qualify for SECOR or MECOR
- 2.3 If it is determined that an employer has carried out any of the actions listed in 2.2, the following penalties may apply for a first occurrence.
- 2.3.1 Any COR(s) currently held by the employer will be cancelled, and the employer will be removed from the list of COR holders on the Energy Safety Canada and governing bodies website. This includes CORs for all accounts and industries under the ownership of the employer. If the COR was issued as part of a group audit of related companies, the penalties will apply to all CORs issued under the original group audit.
- 2.3.2 The employer will be ineligible to apply for COR recertification for a period of up to one year from the date of the decision.
- 2.3.3 All Certifying Partners (CP) and the appropriate government bodies will be advised of the employer's name, parties involved, and the penalty imposed.
- 2.4 If it is determined that an employer has carried out any of the actions listed in 2.2 for a second time, the penalties listed under 2.3 will apply with the following additional specification.
- 2.4.1 The employer will be ineligible to apply for recertification for a minimum of two years.
- 2.5 Once an employer's suspension period has elapsed, they will be eligible to conduct a certification audit if Energy Safety Canada or another CP is willing to accept them into their program. If the audit meets governing bodies' standards for COR certification, the new COR will be limited to a one-year certificate. The employer will be eligible for a normal three-year certificate on subsequent recertification audit.
- 2.6 If the employer applies for certification before the end of their suspension period, the application will be denied.
- 2.7 Should an employer attempt to evade the original penalty imposed (e.g. by changing their corporate name or incorporating a second company to take over business operations) the incident will be treated as a second occurrence.
- 2.8 If the employer has an internal auditor (large employer) or self-assessor (small employer) who was determined to be knowledgeable in the creation or misrepresentation of the COR will also be subjected to the Auditor Performance Management process.

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3.0 ROLES & RESPONSIBILITIES FOR PROCEDURE

Complainant	<ul style="list-style-type: none">○ Submit their concern to Energy Safety Canada in any of the following ways:<ul style="list-style-type: none">○ Complete the complaint form posted on the Energy Safety Canada website and submit to Energy Safety Canada for review.○ Submit an email to CORInfo@EnergySafetyCanada outlining the concerns○ Call the Safety Audits and Certifications call center to report any concerns
Energy Safety Canada	<ul style="list-style-type: none">○ Review the concerns and provide any necessary information to the appropriate governing body in relation to the reported issue of misrepresentation of COR status○ Document and track any decision made by the appropriate governing body that effects the COR status of an employer

4.0 REFERENCE DOCUMENTS

- [SAC-CFT-046 Complaint Form](#)
- [SAC-PRO-041 Auditor Performance Management](#)

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