



HEALTH AND SAFETY PROGRAM CERTIFICATIONS POLICY & PROCEDURE:

3.6 SECOR Assessment Conducted by a SECOR Assessor

Background

Small employers (10 or fewer employees) may pursue a Small Employer Certificate of Recognition (SECOR) by using Enform's audit standard specifically designed to meet the application and training needs of small employers. The SECOR program provides these owner-operators and employers a manageable and cost-effective means of participating in the COR program. The SECOR has been designed to enable the owner, senior operational person, or an employee familiar with the overall work operation to serve as a SECOR assessor and complete the SECOR report. Employers in the SECOR program also have the option of using an Enform external auditor to complete their SECOR report. For this latter option see policy and procedure 3.7 SECOR Audit Conducted by an External Auditor.

Policy

3.6.1 Small employers who are eligible for the Enform SECOR certification must:

3.6.1.1 Have no more than 10 employees at any given time.

- This includes owners and any person (including contractors) covered by the employer's WCB account.
- If an employer's workforce exceeds 10 employees during a SECOR maintenance year, Enform will still accept a SECOR-based assessment. However, the following year the employer must move either into:
 - A MECOR program that begins with a SECOR certification assessment performed by an Enform certified external auditor; or
 - A standard COR program starting with a COR certification audit.

3.6.1.2 Have the owner, most senior operational person, or an employee familiar with the overall work operation successfully complete the Enform Safety Program Development course. This individual is then eligible to function as the SECOR assessor.

- The SECOR assessor is responsible to attend every three years an Enform-approved training course or approved elective course (based on the anniversary date of the most recent required training course).
 - SECOR assessors that carry current credentials as Enform certified auditors are exempt from this requirement.

- Enform offers additional courses that are pre-approved as courses to be taken in lieu of the one day SECOR Refresher course. All requirements related to the SECOR Refresher course apply equally to these electives. A list of these additional courses will be kept current on the Enform website.
- 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).
- The requirement that the SECOR assessor be fully up to date with the refresher course before the SECOR assessment is submitted to Enform will only be waived under the following circumstances:
 - Enform has cancelled a refresher or approved elective course the SECOR assessor was planning on taking to meet requirements.
 - There are no additional refresher or approved elective courses available until after the employer's SECOR expires.
 - The SECOR assessor is registered in the next available refresher or pre-approved course.
- An employer may elect to have another employee fulfill all the Enform Safety Program Development course training requirements and have this individual complete the SECOR assessment.
 - In this scenario, the owner, most senior operational person, or employee familiar with the overall work operations must still fulfill all of the above training requirements and remain responsible to sign off on the SECOR report.

3.6.1.3 Have had their health and safety management system in place for a full year to meet documentation requirements.

- Employers that have not implemented a health and safety management system for a full year may still be eligible for a one year SECOR (See 6.4 One Year Certificate of Recognition).

3.6.2 The SECOR assessment must:

3.6.2.1 Be completed by the same individual that has completed the Enform Safety Program Development course and remains current by completing the one day SECOR Refresher or approved elective course every three years.

- In the event that an employer elects to train an additional employee to undertake the SECOR assessment, the final report must still be signed by the owner, most senior operational person, or employee familiar with the overall work operations that has completed the Enform Safety Program Development course and remains current.

- 3.6.2.2 Be performed using Enform's SECOR submission package and include:
 - Supporting documentation as required by the SECOR submission package.
 - An action plan addressing any deficiencies noted in the SECOR report.
 - A signed, dated agreement that expresses the SECOR assessor's compliance with the Enform SECOR Assessor Code of Ethics and all other applicable Enform standards.
 - An additional signature of approval from the owner, most senior operational person, or employee familiar with the overall work operations where another employee has served as the SECOR assessor.
- 3.6.2.3 Be completed within the following timelines:
 - No more than 45 days from the start of the desktop assessment activities to the end of gathering documents and data for the SECOR report itself.
 - The documents that will be included in the SECOR report are typically written and compiled over the course of a year—this timeline applies only to collecting documents for the purposes of including in the audit.
 - No more than 45 days from the end of information gathering to submit the completed SECOR report to Enform.
- 3.6.2.4 Pass Enform's audit QA review (see 3.30 SECOR Audit Quality Assurance Review).
- 3.6.3 A SECOR assessment for certification must produce a minimum overall score of 80% with 50% or greater in each element.
 - 3.6.3.1 While there are no minimum scoring requirements for a maintenance SECOR assessment, the report itself (including supporting documentation) must be of sufficient quality to pass the Enform audit QA review.
- 3.6.4 Enform shall inform employers that have expanded beyond 10 employees during their maintenance years that they will be required to switch to the MECOR process or the COR program the following year.
- 3.6.5 Enform shall maintain a copy of SECOR QA review and action plan for a minimum of a year.

Procedure

The small employer:

- Ensures the owner, most senior operational person, or employee familiar with the overall operations has successfully completed the Enform Safety Program Development Course and is up to date with the required SECOR Refresher course or approved elective courses.
- If the report write up will be conducted by an employee other than this person, ensure the report writer has also met all of the SECOR training requirements.

The SECOR assessor:

- Conducts the SECOR assessment using the Enform SECOR assessment protocol.
- Ensures the information gathering activities do not exceed 45 days and that the final SECOR report is submitted to Enform within 45 days of completing these activities.
- Signs and adheres to the SECOR Assessor Code of Ethics.
- May be required to provide corrections, clarification, or additional information to address deficiencies noted in the Enform QA review.
 - These must be provided within 30 days of being notified by Enform that they are required.

Enform:

- Verifies that the SECOR assessor's training requirements are fulfilled upon submission of the SECOR report.
- Performs an audit QA review applicable to the SECOR protocol.
 - This may require the SECOR assessor to correct, clarify, or provide additional information in order for the report to pass QA review.
- Informs the small employer of the success or failure of their SECOR assessment upon completion of the QA review process.
- Provides feedback to the SECOR assessor and employer as appropriate.
- If a successful certification SECOR assessment, Enform either provides a SECOR certificate directly or informs the appropriate governing body in order to initiate the SECOR certification process.
- If a successful maintenance SECOR assessment, Enform records successful maintenance of the SECOR and, where required, notifies the appropriate governing body of successful maintenance of the SECOR.
- Cancels any SECOR certificates that are not successfully maintained.
- Maintains a copy of the completed QA review and action plan until the next SECOR assessment is complete.

Approval

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