

Revision 1.0	Prepared By Juliet Goodwin	Date Prepared April 14, 2025
Effective Date July 30, 2025	Reviewed By Shannon Thomas, Jessica Meyer	Date Reviewed April 24, 2025

Audit Registration and Sampling Approval Procedure

Purpose

AMHSA requires that all audits be registered prior to the audit starting. AMHSA also requires that a sampling plan is submitted for review and approval once the registration has been submitted. These requirements ensure that the correct audit type is planned, and the sampling plan for interviews and sites is representative prior to the start of data gathering.

Scope

This Procedure applies to the following:

- Employers who are needing to certify, recertify or maintain their Certificate of Recognition
- Employers using the Action Plan process in lieu of a Maintenance audit.
- Student Auditors completing their qualification audit for auditor certification
- Employers conducting a baseline audit not for COR certification or maintenance purposes

Responsibilities

Auditor

- Register the audit and receive approval notification prior to the audit starting
- Submit a sampling plan using either the AMHSA excel tool or the Audit Soft tool for review and approval
- Communicate any changes to sampling information prior to start of data gathering

AMHSA

- Review submitted audit registration forms to ensure the following:
 - Auditor certification is current or within 6 months of training for student submissions
 - Validate Audit type and WCB information
 - Confirm scope of audit (i.e. If Council is included in WCB account)
 - Assess requirements for team audits
- Review submitted sampling plans to ensure sampling is within representative sampling of WCB account and industry code. Validates changes from previous audits conducted, as appropriate
- Request any additional information from the auditor and/or employer
- Communicate audit registration and sampling plan approvals or non-approvals with the auditor and /or employer
- Provide necessary audit tool to auditor or provide instruction on downloading for use

Employer

- For certification or recertification audits, select a qualified auditor from the AMHSA Consultant Auditor list or inform AMHSA of plan to participate in the external peer audit program.
- For student auditors, ensure sufficient time is allocated for the employee to complete the student audit within the requirement timeframes after course completion (6 months)
- Assign a key contact to assist with the audit process that is knowledgeable of the health and safety management system for the duration of the audit.
- Remain engaged in the audit process to ensure the audit is conducted and submitted within allowable timeframes.

Definitions

“Peer Audit Program” – Employers may consider participating in the external the Peer Audit Program or hiring a consultant auditor for COR Certification audits. The Peer Audit Program is when another employer has an AMHSA certified auditor on staff and agrees to audit your system. The program requires that you also have an AMHSA certified auditor on staff that would, in turn, audit another employer’s system. AMHSA guides this process through a request system annually where requests are submitted prior to June 1 of each year.

“Baseline Audit” – An evaluation using the AMHSA audit tool and intended as a preliminary review of the employer’s health and safety management system. Note that a baseline audit does not count towards the employers COR audit cycle.

“Qualification Audit” – An evaluation using the AMHSA audit tool that a student completes within 6 months of successfully completing AMHSA’s Health and Safety Auditing course. Once a qualification audit passes AMHSA’s quality assurance process the student is granted AMHSA auditor certification.

“Action Plan Process” – A process that allows employers who have held a valid COR for four or more consecutive years to use an alternative process for meeting maintenance audit requirements. Employers generate a series of specific health and safety initiatives, often based on previous audit deficiencies or recommendations, and are measured against their success in completing their initiatives within a calendar year.

“Representative Sampling” – A sample that accurately reflects the whole company and/or is of a sufficient quantity to reasonable and accurately assesses the whole. Review the [Audit Sampling Procedure](#) to assist in determining representative sampling.

Procedure

- The auditor submits the audit registration form to the audits@amhsa.net email. AMHSA receives and reviews the submitted registration form for accuracy and validates registration details.
- AMHSA requests the auditor to submit a sampling plan for review. AMHSA provides the selected audit tool or instructions on downloading (Audit Soft) to complete sampling details. See requirements below for each audit tool.
- Once the sampling information is submitted, AMHSA reviews to ensure it meets the Partnerships Standard for representative sampling.
- The auditor cannot start the audit until the audit registration and sampling plan has been approved.
- For large and complex sampling, auditors may contact AMHSA for support in these situations. In some cases an auditor may need to submit large sampling details in a separate document other than the audit tools provided.

Sampling Plans – Submission Requirements

It is a requirement that all audits have a sampling plan submitted for approval. AMHSA will request this from the auditor after the submission of the Audit Registration form. The auditor submits the sampling plan to the audits@amhsa.net email. There are two options for sampling plan submission:

- AMHSA Excel Audit Tool Sampling worksheets
- Audit Soft Audit Tool Sampling sections

The auditor should also complete the Audit Information section and provide an Organizational Chart when submitting the sampling plan details.

AMHSA Excel Audit Tool

The following worksheets are required to be completed for the sampling plan submission:

- Audit Information – Provide Organizational Details, contact, Audit type, Auditor name
- Org Chart – provide Org chart in excel or attached to email
- Site Sampling – Provide details for all fields
- Int. Sampling – Provide details for all fields

Audit Soft Audit Tool

The following sections of the audit tool are required to be completed for the sampling plan submission. The auditor attaches a .pdf of the Audit Soft report with these areas populated:

- Company Details, Contact, WCB Accounts, Auditor details, Audit details
- Site Sampling Information, Total sites, sites included and minimum required sites to include should be provided
- Total employees, total interviewed, minimum required, recommended interviews fields should be completed
- Interview Summary should be completed
- Representative Sampling section completed

Sampling Plans Requiring Revision

An email is sent to the auditor via audits@amhsa.net outlining the required revisions and asking to resubmit with the corrections. Any resubmitted sampling plans are reviewed and a response provided to the auditor.

Sampling Plans Approved

An email is sent to the auditor via audits@amhsa.net to confirm that the sampling plan is approved. The sampling plan is referenced during the Quality Assurance review of the audit to determine if sampling requirements were met.

Related Documents

- [AMHSA Consultant Auditor List](#)
- [Audit Registration Form](#)
- [Audit Sampling Procedure](#)