AMHSA
Health | Safety | Environment

Limited Scope Audit Procedure

Purpose & Scope

Limited Scope Audits are available to eligible employers for use in the regular and small employer programs. However, deficient SECOR assessments are not eligible for Limited Scope Audits. COR/SECOR certification or recertification has been completed however the overall score did not reach the required 80% overall or at one or more elements scored below 50%. In these cases, the employer may be eligible to request a Limited Scope audit.

Definition

"Limited Scope Audit" - A Limited Scope Audit is defined as an audit that is conducted using only documentation review related to deficient areas of an employer's health and safety management system selected by the employer that were identified in the original audit. The audit overall score falls between 70-79% or one or more elements scored below 50%.

Responsibilities

AMHSA Auditor

- Identifies opportunities for limited scope audits in a timely manner and discusses with the employer during the audit process.
- Communicates with AMHSA the employers interest in the Limited Scope process.
- Conducts the limited scope audit within required timeframes and submits to AMHSA for review.

AMHSA

- Review audit submissions that may qualify for the limited scope audit process to determine eligibility
- Complete an assessment on failed audit to identify potential questions for inclusion in LSA
- Support the auditor and employer through the limited scope audit process

Employer

- Reviews the Potential Questions and determine which question and actions to carry out. Submit intention back to AMHSA
- Arrange for Limited Scope audit with AMHSA (original auditor or new one) certified auditor

Requirements

- The audit overall score falls between 70-79% or one or more elements scored below 50%.
- The corrections needed to bring the audit to a passing score must be actionable by the employer within the limited time available in the limited scope process. AMHSA will determine if the actions needed are eligible for a Limited scope audit and communicate the decision with the Employer.
- The auditor must communicate with the employer and AMHSA in a timely manner when a certification or recertification audit falls into a potential limited scope situation.
- Quality Assurance review is conducted both on the failed initially submitted audit as well as on the limited scope audit.

- AMHSA will prioritize the quality assurance review of the limited scope audit in order to give the employer as much time as possible to quality for the Limited Scope audit option.
- The audit instrument used for the limited scope audit is the same as what was used for the original audit.
- A Limited Scope Audit must be submitted to AMHSA within 135 days from the date of the original audit end date. The maximum number of days for data-gathering activities (45 days) and report writing (21 days) is included in the 135 day timeline.
- The COR is issued based on the original end date of the external audit if the LSA is successful in meeting the passing requirements.

Procedure

Auditor

- Auditor has conducted an audit that has scored between 70% - 79% or has one or more elements that scored below 50%.
- The auditor contacts the employer to discuss the limited scope option as soon as possible. The auditor submits the audit package, as normal, to AMHSA via the audits@amhsa.net outlining the failed audit details and the employer's interest in completing a limited scope audit.
- The auditor must register the limited scope audit using the Audit Registration Form
- The auditor completes the limited scope audit within the required timeframes.
- The auditor will only evaluate the approved questions from the Limited Scope Potential Questions template.
- A 'Limited Scope' note will be written under the original note, and the question score will be revised to reflect the new findings.
- The auditor will update the Suggestions for Improvement and Executive Summary to reflect the areas addressed through the limited scope audit process.
- The auditor submits the completed Limited Scope audit to AMHSA for quality assurance review.

AMHSA

- AMHSA completes a priority review on the failed audit to identify any quality assurance issues and has the auditor correct and resubmit.
- AMHSA identifies potential questions that the employer could reasonably work on within the timeframe for the limited scope process. Using the Appendix B – Limited Scope Potential Questions Template
- AMHSA contacts the employer to confirm and outline the requirements and timeframes for the limited scope audit and attaches the completed Limited Scope Potential Questions document.
- AMHSA performs progress checks with the employer every 2-3 weeks to confirm they are working towards having the limited scope audit performed.

Employer

- The employer responds with confirmation on the following items:

  - Decision to proceed with a limited scope audit.
  - Confirm review of potential questions and that they will assign timelines for implementation of chosen questions.
  - Submit the chosen audit questions and proposed timelines to AMHSA, with auditor confirmation.
  - Confirm understanding of deadline to have the auditor complete and submit the limited scope audit.
  - Confirm if the original auditor is willing to conduct the LSA or if a new auditor needs to perform the audit.

- The employer makes the identified corrections to their Health and Safety Management System (HSMS) with the required timeframe.
- The employer arranges for the auditor to come back and complete the Limited Scope audit.

Related Documents

- Limited Scope Potential Questions Template
- Audit Registration Form