



## ENFORM HEALTH AND SAFETY PROGRAM CERTIFICATIONS POLICY & PROCEDURE:

### 3.14 Limited Scope Audit

#### Background

An employer whose audit does not meet Enform's scoring standards for certification may be eligible to apply for a limited scope audit.

A limited scope audit is an audit that is conducted only on deficient areas of an employer's health and safety management system. Limited scope audits have two objectives:

- To produce focused and measurable improvements in an employer's health and safety management system.
- To offer an employer with minor system deficiencies the opportunity to achieve certification without repeating the entire audit process.

To be eligible for a limited scope audit, the employer's original audit must achieve a minimum overall audit score of 70%. If as a result of the limited scope audit process the overall revised audit score meets the requirement of a minimum of 80% overall and 50% for each element, the employer is eligible for COR or SECOR certification/recertification as applicable.

In the event that the original certification audit falls in one calendar year but the limited scope audit is not completed until the next, employers eligible for provincial refund programs may experience a delay in receiving their refund for the calendar year of the original audit. Given a successful outcome to their limited scope audit, however, they are eligible for a refund for that calendar year.

#### Policy

3.14.1 A limited scope audit may be offered to employers whose certification audit has achieved a minimum overall score of 70% and may include one or more elements scored below 50%.

3.14.1.1 The limited scope audit is available to all COR, MECOR, and SECOR certification audits conducted by an External auditor.

3.14.1.2 The limited scope audit is not applicable to SECOR self audits.

3.14.2 A limited scope audit is restricted to auditing the key deficiencies identified in an employer's health and safety management system during the certification audit.

- 3.14.3 The auditor who conducted the original audit must advise Enform as soon as possible if an opportunity exists for an employer to be considered for a limited scope audit.
  - 3.14.3.1 It is imperative that the auditor fully complete the audit and submit a completed audit report to Enform for QA review in order to facilitate next steps in the limited scope audit process in a timely fashion.
- 3.14.4 Enform shall review the original certification audit report as soon as possible to determine if a limited scope audit is possible and contact the employer directly regarding this option.
  - 3.14.4.1 The original certification audit score after Enform's audit QA review must be 70% or higher for a limited scope audit to be considered further.
- 3.14.5 If Enform grants the possibility of a limited scope audit:
  - 3.14.5.1 Enform shall work directly with the employer to determine the questions to be included within the scope of the audit.
  - 3.14.5.2 The employer must submit a written plan that outlines how the deficiencies of the original certification audit will be corrected.
- 3.14.6 As part of the final approval process, Enform shall ensure the following:
  - 3.14.6.1 The original certification audit meets the minimal scoring criteria outlined above.
  - 3.14.6.2 The deficiencies identified can be realistically corrected and corrective action implemented and validated through a limited scope audit within the timeframe remaining for the limited scope audit.
  - 3.14.6.3 The scope of the proposed limited scope audit is sufficient to evaluate whether the deficiencies have been corrected.
  - 3.14.6.4 The scope of the proposed limited scope audit has the potential to provide sufficient improvements in the audit score to secure certification.
- 3.14.7 The audit instrument to be used for limited scope audits must be the same as the one used in the original audit.
  - 3.14.7.1 All scores for the original audit questions that are outside the scope of the audit remain the same.
- 3.14.8 A limited scope audit must be conducted by an Enform certified external auditor.
  - 3.14.8.1 Enform and the employer will determine whether the limited scope audit should be completed by the original auditor.
- 3.14.9 The on site data gathering activities for the limited scope audit cannot exceed 45 days.
- 3.14.10 The limited scope audit must be completed and submitted to Enform within 135 days from the last day on site of the original audit.
- 3.14.11 The auditor must submit the completed limited scope audit report to Enform for audit QA review within 30 days of completing their onsite data gathering activities.
  - 3.14.11.1 The limited scope audit report must contain an updated scoring summary sheet that includes the revised element scores and the re-calculated overall audit score.
  - 3.14.11.2 Auditor notes must be submitted to support each question that has been re-scored.

3.14.11.3 The audit recommendations as outlined in the original audit report must be updated to reflect the areas addressed through the limited scope audit process.

3.14.12 In order to pass, the revised audit score must be at least 80% overall and no less than 50% in each audit element and the limited scope audit report must pass QA review.

3.14.13 Enform will process the COR or SECOR certification using the last day on site of the original certification audit as the date of certification.

## Procedure

### **The auditor on the original certification audit:**

- Advises Enform as soon as possible if they encounter a scenario where an employer will fall just shy of the required audit score for certification and may be a candidate for a limited scope audit.
- Fully completes the audit as per the audit protocol requirements and submits a completed certification audit to Enform.

### **Enform:**

- Expedites the QA Review of an audit that has been flagged by as potentially eligible for a limited scope audit.
- Determines the eligibility of the employer for a limited scope audit.
- Informs the employer directly of the option to complete a limited scope audit.

### **The employer, in consultation with Enform:**

- Develops and submits a written plan to address the deficiencies identified in the audit.

### **Enform:**

- Reviews and makes a final determination of the eligibility of the employer for a limited scope audit in light of the employer's plan.
- Determines in conjunction with the employer which audit questions will make up the limited scope audit.
  - The audit questions selected must provide enough additional scoring potential to allow the employer to become certified (i.e., 80% overall; minimum 50% in each Element).
- Determines in conjunction with the employer who will conduct the limited scope audit.
- Documents these determinations and provides a written record to the employer and auditor carrying out the limited scope audit.

### **The auditor assigned to the limited scope audit:**

- Carries out the limited scope audit as per the audit plan within the required time frames.
  - These include a 45 day limit to on site data gathering activities, a 30 day limit on audit report writing after the last day of on site activities, and an overall limit of 135 days from the last day on site of the original audit.

**Enform:**

- Performs a QA Review on the limited scope audit.
- In the event of a successful limited scope audit, processes the certification of the employer using the last day on site of the original certification audit as the certification date.
- Informs the auditor and employer if the limited scope audit fails to result in certification.

**Approval**



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