



PROGRAM POLICY with PROCEDURE

UNIT	SECTION	PAGE
Partnerships	PP-020	1 of 3

ISSUE	DATE
Limited Scope Audit	01.02.2003

POLICY

An employer that marginally failed to meet the *Partnerships* standard for issuing a Certificate of Recognition (COR) may be eligible to apply to its Certifying Partner for a limited scope audit.

BACKGROUND

The *Partnerships* standard for issuing a COR is a minimum overall score of 80% with a minimum of 50% on each of the elements when measured through an external audit, or self-administered audit if enrolled in the Small Employer COR Program.

Where the health and safety management system of an employer marginally failed to meet the *Partnerships* standard, the employer may be eligible to apply to its Certifying Partner for a limited scope audit. Marginally is defined as an external audit with an overall score below 80% but not below 70%.

A limited scope audit is defined as an external audit conducted on either a limited component of the employer's operations or only on specific elements of the employer's health and safety management system.

An employer that passes a limited scope audit will be considered as subsequently meeting the *Partnerships* standard for issuing a COR.

PROCEDURE

1. In order for a Certifying Partner to approve a limited scope audit the employer must meet the following conditions:
 - the employer has achieved an overall score below 80% but not below 70%, and
 - the deficiencies of the employer's health and safety management system can realistically be corrected and implementation validated, through a limited scope audit, within a 90-day period from the last day of information gathering of the original audit (original audit date).

If approval is granted, the employer has not more than 90 days from the original audit date, and not more than 45 days from the limited scope audit start date, to complete the limited scope audit.
2. The auditor who conducted the original external audit must make a recommendation to the Certifying Partner that the employer be considered for a limited scope audit.
3. Within a 45-day period from the original audit date, the employer must apply in writing to the Certifying Partner for approval to conduct a limited scope audit. The employer must submit to the Certifying Partner the following documents, prior to approval being granted:
 - the original scored audit,
 - an action plan outlining how the employer will correct the deficiencies, and
 - the auditor's recommendation for a limited scope audit.
4. The Certifying Partner will verify the employer's eligibility for a limited scope audit and determine the feasibility of correcting and auditing the deficient areas within 90 days of the original audit date.
5. For an employer participating in the Workers' Compensation Board Partners in Injury Reduction Program, if the original audit date occurred prior to the end of December and the limited scope audit occurred after the end of December, the employer would meet the COR calendar deadline of the PIR program provided the limited scope audit:
 - is completed within 90 days of the original audit date,
 - meets the scoring requirements, and
 - meets the Certifying Partner's quality review.
6. The Certifying Partner will confirm and document the scope of the limited scope audit with the employer by outlining:
 - the element(s) of the employer's health and safety management system being re-audited,
 - the component(s) of the employer's operation being re-audited, and
 - the audit instrument being used for the limited scope audit. (The audit instrument must be the same as the one used for the original audit.)

UNIT	SECTION	PAGE
Partnerships	PP-020	3 of 3

PROCEDURE (Cont'd)

7. A Certified External Auditor will conduct the limited scope audit. The Certifying Partner and employer will make the determination whether the limited scope auditor will be the original auditor
8. Once the limited scope audit is completed, the employer has a 45-day period to submit the audit to the Certifying Partner for quality review. The audit must meet all quality standards of an external audit.
9. If the limited scope audit confirms that the employer now meets the *Partnerships* standard for issuing a COR, the certificate will be issued using the completion date of the original audit.

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