



# LIMITED SCOPE AUDIT

Effective Date: 2019 - 02 - 01

Owned by: Safety Audits and Certification Department

Approval: \_\_\_\_\_

Approved By: Justin Degagne, SA&C Acting Manager

Valid Until: 2022 - 02 - 01

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## SUMMARY OF CHANGES

This Summary shows:

- All changes from last approved and published document
- The location within the document where the changes have been made

Location of Change	Summary of Change
Entire Document	This is the first revision of the Limited Scope Audit. This revision brings the Procedure template into alignment with the templates used by the Governing Documents Framework.

 Requirements changed in the new revision will be identified with a revision triangle beside it.

## SUMMARY OF REVIEWERS

The following people were involved in the review of this Procedure.

Name	Position
Justin Degagne	Acting Manager, Safety Audits and Certifications
SA&C Team	Subject Matter Experts (SME)

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## 1.0 ABOUT THIS PROCEDURE

### 1.1 Purpose and Direction

Where an external auditor conducting a certification or recertification audit of an employer's health and safety management system identifies deficiencies that will cause the employer to not achieve 80% overall or at least 50% in each element, the employer 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

Deficient SECOR assessments are not eligible for a Limited Scope Audit.

*Energy Safety Canada Reference: SAC-MNL-001*

*Alberta Government Reference: 1.3*

### 1.2 Scope

An employer whose audit does not meet Energy Safety Canada's scoring standard for certification may be eligible if the original external audit achieved an overall score of 70-79% or one or more audit elements scoring below 50%.

### 1.3 Target Audience

The target audience for this document is all Energy Safety Canada personnel in any work location. This includes Employers and Auditors.

## 2.0 PROCEDURE

- 2.1 The auditor who conducted the original audit must advise Energy Safety Canada as soon as possible if an opportunity exists for an employer to be considered for a Limited Scope Audit.
- 2.2 The auditor must complete the audit and submit a completed audit report to Energy Safety Canada for Quality Assurance (QA) review to facilitate the next steps in the Limited Scope Audit.

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- 2.3 Energy Safety Canada will review the audit report as soon as possible, with consideration given to the extent of the employer's system deficiencies and the timelines allowed.
- 2.4 Energy Safety Canada will verify the following criteria before approving a Limited Scope Audit:
- The employer's original audit must have achieved an overall score of 70-79%, or one or more elements scored below 50%
  - The required corrections to the identified deficiencies in the employer's health and safety management system are actionable by the employer within the limited time available and given the proposed scope of the re-audit
  - The scope of the proposed Limited Scope Audit must be sufficient to evaluate whether the deficient areas have been corrected
  - The audit instrument used for the Limited Scope Audit is the same as the one used for the original audit
- 2.5 Limited Scope Audits must be conducted by a certified auditor external to the employer. This certified auditor does not have to be the original auditor.
- 2.6 The Limited Scope Audit must be completed within 135 days of the last day of on-site gathering activities of the original audit. The maximum number of days for on-site data gathering activities is 45 days and is included in the 135-day timeline.
- 2.7 The auditor must submit the completed Limited Scope Audit report to Energy Safety Canada for audit QA review within 21 days of completing their onsite data gathering activities.
- The Limited Scope Audit report must be completed by revising the original audit file to change the audit scope to "Limited Scope", and the audit dates to reflect the new audit timelines
  - The Auditor will only evaluate the approved questions from the Limited Scope Action Plan
  - A Limited Scope note will be written under the original note, and the question score will be revised to reflect the new findings
  - The audit recommendations and Executive Summary, as outlined in the original audit report, must be updated to reflect the areas addressed through the limited scope audit process
- 2.8 Employers will be issued a COR using the date of the original external audit if the Limited Scope Audit raises the original audit's overall score to the minimum standards of at least 80% overall, with no less than 50% in each element. The Limited Scope Audit must also pass the audit QA review.

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- 2.9** Employers participating in a government rebate program may use the Limited Scope Audit to maintain eligibility for a refund if the original audit occurred on or prior to December 31 of the refund year.

### **3.0 ROLES AND RESPONSIBILITIES**

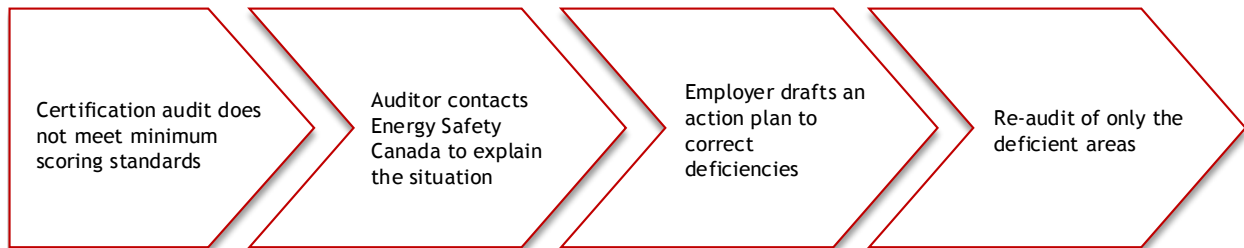
Auditor	<ul style="list-style-type: none"> <li>• Advises Energy Safety Canada as soon as possible and before the audit is written, if they identify a potential situation where an employer will not meet the required audit score for certification and may be a candidate for a limited scope audit</li> <li>• Fully completes the audit per the audit protocol requirements and submits completed audit report to Energy Safety Canada in a timely manner and within timeline requirements</li> <li>• Sends the audit file to Energy Safety Canada.</li> </ul>
Employer	<ul style="list-style-type: none"> <li>• Decides to accept the failed audit or to go forward with the limited scope audit</li> <li>• Completes the Limited Scope Action Plan with assigned personnel and target dates, and any other requested audit questions, and sends to Energy Safety Canada for final approval</li> <li>• Completes action items</li> <li>• Hires Auditor to complete the limited scope audit</li> </ul>
Limited Scope Auditor	<ul style="list-style-type: none"> <li>• Registers the limited scope audit</li> <li>• Carries out the limited scope audit as per the audit plan within the required timelines</li> <li>• Submits the audit report to Energy Safety Canada for QA, and completes any required revisions within the required timeframes</li> </ul>
Energy Safety Canada	<ul style="list-style-type: none"> <li>• Expedites the QA review of an audit that has been flagged as potentially eligible for a limited scope audit</li> <li>• Determines the eligibility of the employer for a limited scope audit</li> <li>• Informs the employer directly of the option to complete a limited scope audit</li> <li>• Reviews and makes a final determination of the eligibility of the employer for a limited scope audit in comparison to the employer’s plan</li> <li>• Determines in conjunction with the employer which audit questions will make up the limited scope audit</li> <li>• Determines in conjunction with the employer who will conduct the limited scope audit</li> </ul>

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	<ul style="list-style-type: none"> <li>• Documents these determinations and provides a written record to the employer and auditor carrying out the limited scope audit</li> <li>• Performs a QA Review on the limited scope audit</li> <li>• 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</li> <li>• Informs the auditor and employer if the limited scope audit fails to result in certification</li> </ul>
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The following is a high-level illustration of the Limited Scope process:



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