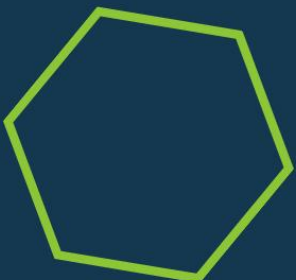
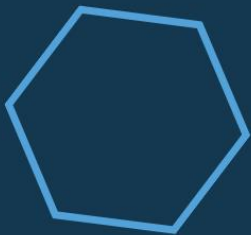


# Quick Reference Guide to:

# AuditXchange<sup>TM</sup>

VERSION 1.02

October 17, 2023



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# 1. Introduction

This is a quick reference guide to commonly encountered AuditXchange tasks.

## 1.1. Help



If you have a question about the AuditXchange software application, there is an extensive online manual including many frequently asked question (FAQ) responses that can be accessed at: <https://auditsoft.co/support/>

You can also access the most recently updated help content directly from the help widget located in the lower right corner of AuditXchange.



## 1.2. Logging In

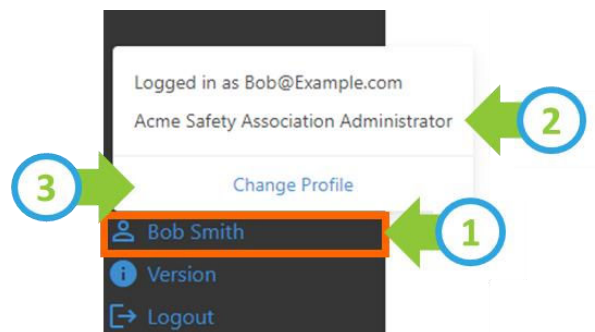
AuditXchange can be accessed from:

- <https://AuditXchange.com> system
- <https://AuditSoft.co> and selecting AuditXchange in the top right menu.

## 1.3. User Profiles

Most AuditXchange users will have a single profile, but it is possible to have multiple profiles within the system. To switch between profiles:

1. Click on your User Account profile in the lower right corner.
2. The profile will show your current permission setting and the organization that it is linked to. In the example below this user is an **Administrator** of **Acme Safety Association**
3. If the user has more than one profile the **Change Profile** option will be available to switch to a different profile.



The following user profiles exist:

1. **Association - Administrator**
  - a. Full access to AuditXchange and includes all the permissions that are granted to a Reviewer.
  - b. Currently Administrators can only be assigned by AuditSoft support (see Questions and Support) for assistance.
2. **Association - Reviewer**
  - a. Primarily an audit Quality Assurance (QA) reviewer with limited access.
3. **Auditor**
  - a. User of the AuditSoft auditing application
4. **Company - Administrator**
  - a. Main contact for a company that has one or more audits managed in AuditXchange. This user can invite other users to view the company audit data.
5. **Company – Viewer**
  - a. A company user that can only view content within AuditXchange

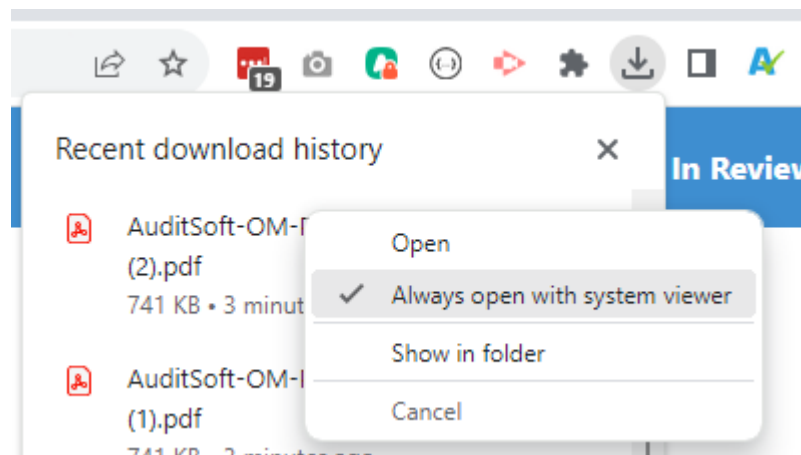
## 1.4. Browser Setup

AuditXchange is a web-based application and the interaction with the application is dependent on the settings of your default browser. AuditXchange supports all mainstream browsers.

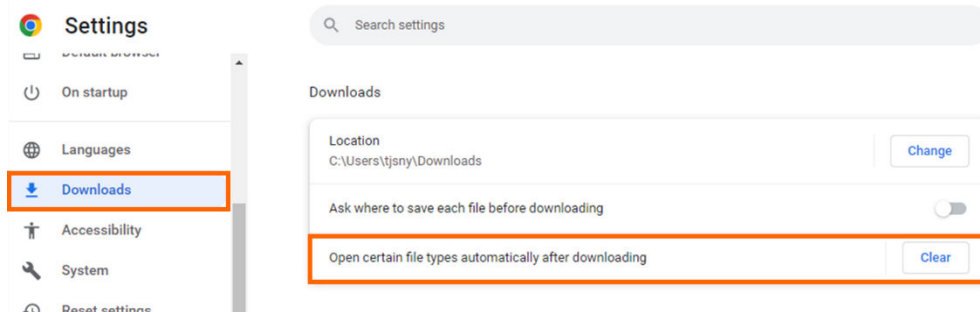
Below are the recommended settings for Google Chrome. Note: If you are not using Google Chrome as your default browser you will need to set the equivalent properties in your preferred browser or you can contact support (see Questions and Support) for assistance.

Recommended Google Chrome settings:

1. Download the file (.pdf or .asa)
2. After is it downloaded the first time you can right-click on it and select “Always open in system viewer”



3. To reset this setting to not open these files go to **Settings > Downloads** and clear the **Open certain file types automatically after downloading** setting.



## 2. Licensing

User Profile Required: Administrator

AuditSoft licensing is an optional service that may be enabled when the Certification Body / Certifying Partner chooses to approve all audit license requests before an audit can be started. This is mostly used when the Certification Body / Certifying Partner subsidizes licensing and/or to confirm the following BEFORE the audit is initiated.

### 2.1. Workflow

1. Within AuditSoft an auditor selects **Get New License** and clicks **Submit Request** to request a license from the Certification Body / Certifying Partner.
  - a. **Note:** if the **Submit Request** button is not enabled on the **License details** page, then Licensing has not been enabled for your Certification Body / Certifying Partner.

#### Your order

AuditSoft - Demo Audit License  
 AuditSoft cloud backup - Extend until 26th Sep  
 GST  
**Total**

☒ I accept the AuditSoft Inc. [Terms and Conditions](#)

**SUBMIT REQUEST**

2. An email will be sent to all administrators with:
 

**SUBJECT:** AuditXchange: [auditors name] requested a license for [Company name]
3. To approve the request:
  - a. Click on the link in the email and log into AuditXchange.
  - b. Review the request and confirm:
    - i. The correct spelling of the company name.
    - ii. The auditor and company being audited are in good standing with the Certification Body / Certifying Partner.
  - c. Then either **Approve**, **Reject** or **Auto Approve**.

Company License	Protocol	Date Requested	Auto Approve	Approve	Reject
Acme Inc.	AuditSoft-Demo	May 23, 2023	<a href="#">Auto Approve</a>	<a href="#">Approve</a>	<a href="#">Reject</a>

- d. AuditXchange will send an email notification to the auditor to inform the auditor of the outcome of the license request:
 

**SUBJECT:** Your license request has been updated

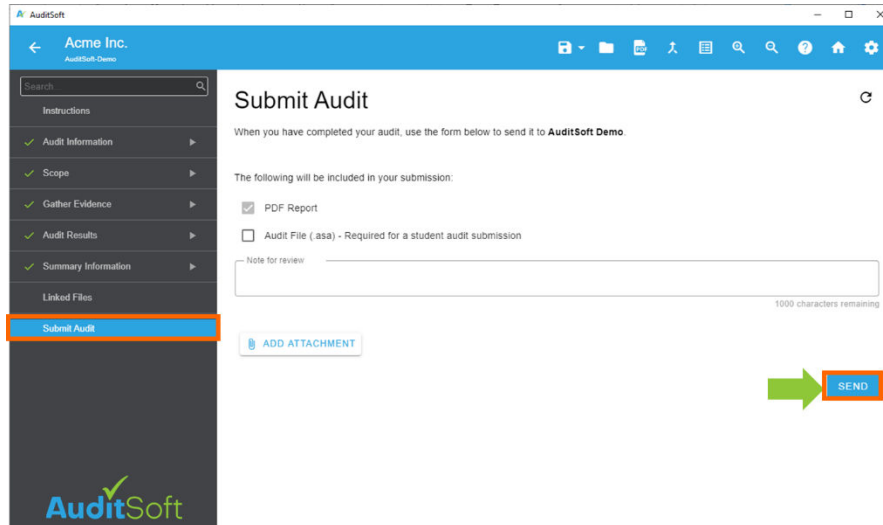
### 3. Review Submission

The review submission process focuses on ensuring the quality of the data within each audit that is collected for data analysis.

#### 3.1. Auditor Submits an Audit

User Profile Required: Auditor

After the auditor completes an audit, it is submitted from within AuditSoft to the Certification Body / Certifying Partner by navigating the **Submit** section in the navigation menu and selecting **Send**.



Notification: Upon submission two email notifications are sent:

1. To all AuditXchange Administrators:  
**SUBJECT:** AuditXchange - Audit for [Company name] received from [auditors name]
2. To the Auditor that submitted the audit:  
**SUBJECT:** [Certification Body / Certifying Partner] - New Audit Submission Received

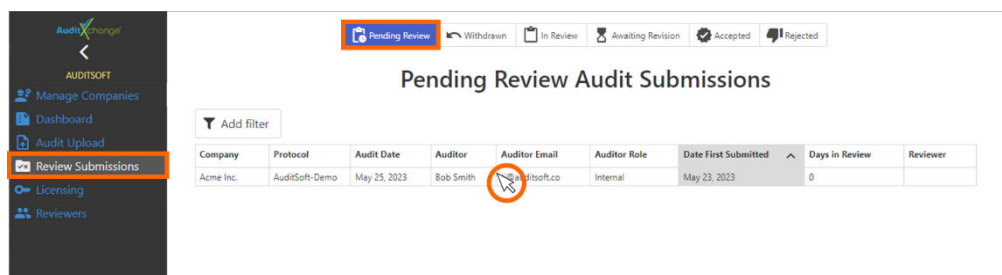
#### 3.2. Receiving an Audit Submission

User Profile Required: Administrator

Once the audit has been submitted the AuditXchange administrator receives email notification that an audit has been submitted – see Auditor Submits an Audit (above)

To access the submitted audit:

1. The administrator must log into AuditXchange.
2. Navigate to **Review Submission** in the left navigation menu.
3. Select **Pending review** in the top menu bar.



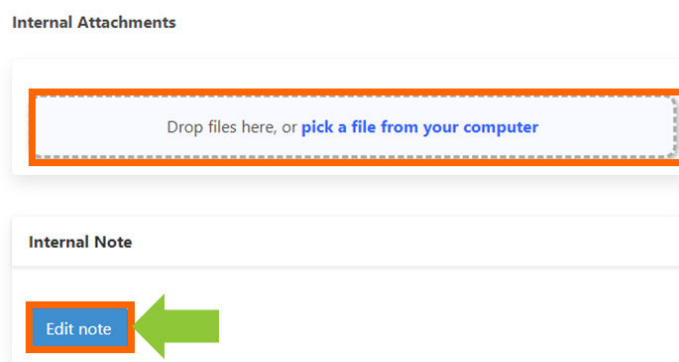
4. The submitted audit will appear in the **Pending Review Audit Submission** list.
5. Click on the submission line item to open it.
6. The administrator can now proceed to the Initial Submission review

### 3.3. Initial Submission review

User Profile Required: Administrator

An initial review may be completed before an audit is assigned to a reviewer.

1. Click on the submitted pdf document to open it (important see Browser Setup) in your default PDF viewer.
2. As an initial review there are several items that can/should be confirmed before proceeding with the review. These will differ for each Certification Body / Certifying Partner, but can include:
  - a. Confirming that the Company is in good standing.
  - b. Confirming that the Auditor is in good standing.
  - c. Confirming the company account number and industry classification codes were entered correctly.
  - d. Confirming that the auditor has completed the required training, etc.
3. It is recommended that the outcome of the initial review be recorded. This can be done by either:
  - a. Updating the **Internal Note** in AuditXchange, or.



- b. Uploading a completed checklist that may be used for initial review by the Certification Body / Certifying Partner.
- a. The administrator must now Accept the audit as-is and proceed to **3.9.1 Correcting the Company Name and/or Account Number** section.



Assign a Reviewer Assign a Reviewer within the Certification Body / Certifying Partner to process the audit submission.



Some Certification Bodies / Certifying Partners do not require a complete audit review for all submitted audits and some audits can be accepted without a full audit review. For these organizations there is a **Quick Accept** option that will circumvent the review process outlined below.

Quick Accept

### 3.3.1. Data Error Warning

Upon submission of an audit AuditXchange completes a basic check to ensure the uniqueness of the **Account Number** of the company. If the **Account Number** already exists in AuditXchange, it will check to confirm that the **Company Name** of the submitted audit is identical to the **Company Name** that exists in the system. If they are not identical a warning will be displayed showing the **Expected Value** of the company name.

In the example below the **Company Name** that was expected to be associated with the **Account number** is **Acme Industries Inc.**

Received June 1, 2023 at 3:58 PM - Revision ID: 146  
Received June 1, 2023 at 3:58 PM



This audit contains validation errors. Once the audit has been accepted, you will be prompted to navigate to the audit resolution tool where these errors can be corrected. Alternatively you can request that the auditor perform the necessary changes.

**Error Category:** Inconsistent company name  
**Expected Value:** Acme Industries Inc.



There are four possible solutions to remove the warning:

2. AuditXchange **Company Name** previously submitted is incorrect:
  - a. Accept the audit as-is and proceed to the **3.9.1 Correcting the Company Name and/or Account Number** section.
3. AuditXchange **Account Number** previously submitted is incorrect:
  - a. Contact [support@AuditSoft.co](mailto:support@AuditSoft.co)
4. Incorrect Account Number of the submitted audit:
  - a. Accept the audit as-is and proceed to the **3.9.1 Correcting the Company Name and/or Account Number** section.
5. Incorrect Account Number previously submitted to AuditXchange:
  - a. Select Require Revision and ask the auditor to update the **Account Number**, or
  - b. Accept the audit as-is and proceed to **3.9.1 Correcting the Company Name and/or Account Number** section.

### 3.4. Assign a Reviewer

User Profile Required: Administrator

To assign a reviewer:

1. Select **Assign Reviewer** and complete the notification requirement.
2. **IMPORTANT:** When assigning a reviewer, it is a best practice to provide a reason for the assignment and to record any process steps that have been completed or that remain open.

### Assign Reviewer

Reviewer

Sally Snyder (reviewer)

Reason

Initial review has been completed.  
Both the company and the auditor are in good standing.

Cancel

Confirm

Confirm and notify auditor

Notification: There are two notification options when assigning a reviewer:

1. **Confirm and notify Auditor:**
  - a. The auditor will receive an email:  
**SUBJECT: [Certification Body / Certifying Partner] - Audit Submission Update - In Review**
  - b. The **Reviewer** will receive an email:  
**SUBJECT: AuditXchange: Assigned Audit Review**
2. **Confirm:**
  - a. Only the **Reviewer** will receive the email notification listed above.

After a reviewer has been assigned the Audit Review history on the right side of the page is updated to reflect the change in responsibility:

Review started	May 23, 2023, 6:53 AM - TJ S. Admin
Review assigned to TJ S. Admin	May 23, 2023, 6:53 AM - TJ S. Admin
Initial review has been completed. Both the Company and Auditor are in good standing.	
New revision received	May 23, 2023, 5:29 AM - TJ S. Admin

Now the review of the submitted audit can be started.

### 3.5. Review

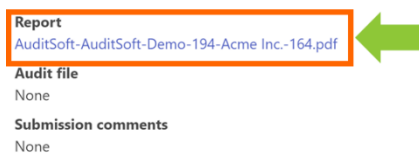
User Profile Required: Administrator, Reviewer

When reviewing a submitted audit there are 2 types of reviews that can be completed. The first is a review of the submitted PDF report and the second is a review of the submitted AuditSoft Audit File (.asa). Currently the latter is reserved for audits that must be modified by the Certification Body / Certifying Partner after submission.

### 3.5.1. Reviewing a PDF audit

When reviewing a submitted PDF audit Report, it is the responsibility of the reviewer to read through the report to ensure that it meets Certification Body / Certifying Partner requirements. As part of this process the reviewer may encounter areas that are unclear or have grammatical and/or spelling errors. To start a review:

1. Click on the PDF report in AuditXchange this will:
  - a. download the file to your default "Download" folder
  - b. open the pdf in your default pdf viewer (see Browser Setup above to automatically open the pdf document in your default pdf viewer)

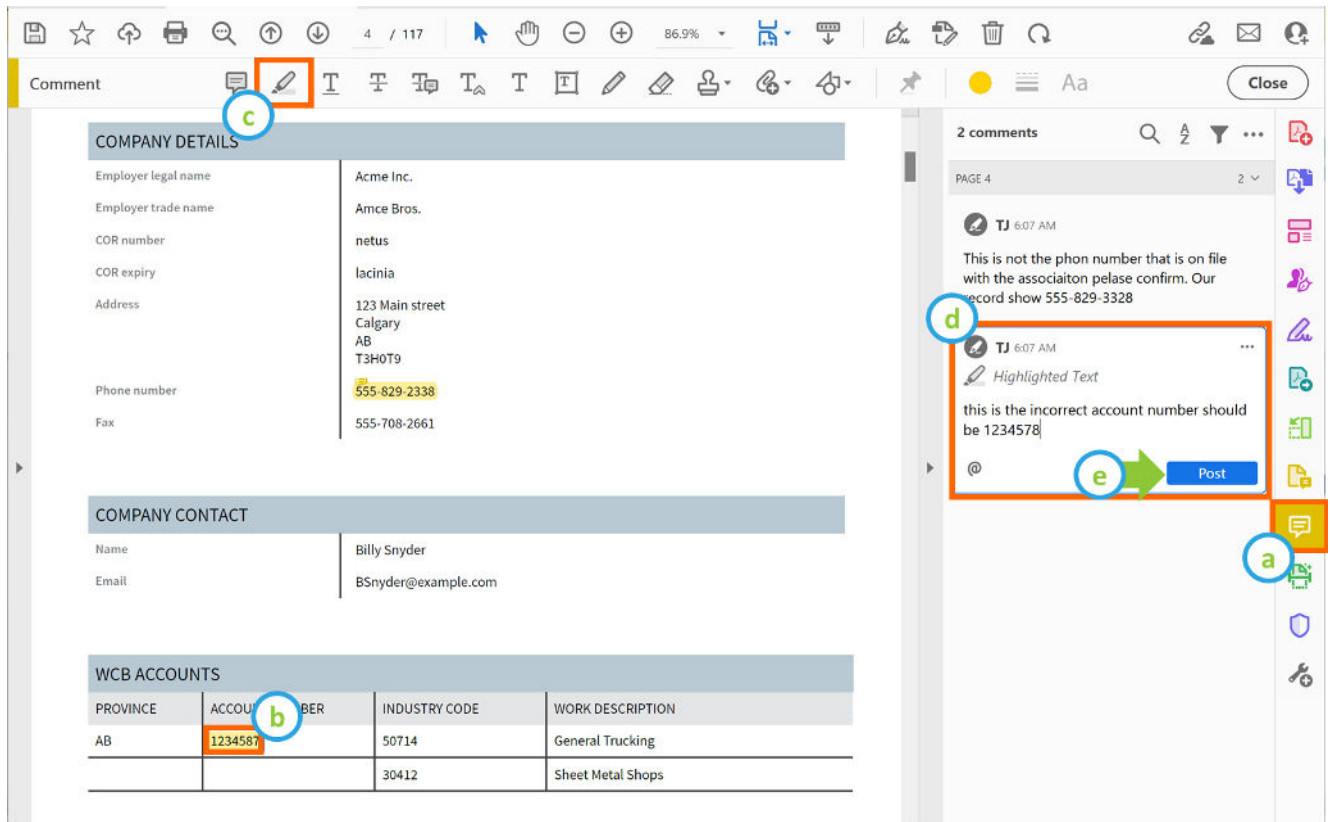


Review started	May 23, 2023, 6:53 AM - TJ S. Admin
Review assigned to TJ S. Admin	May 23, 2023, 6:53 AM - TJ S. Admin ▼
New revision received	May 23, 2023, 5:29 AM - TJ S. Admin



Not all free PDF viewers are updated regularly to comply with the latest released PDF format changes. It is highly recommended that you install and use the latest version of the Adobe Reader (see <https://get.adobe.com/reader>) to view the generated draft audit report.

2. Please ensure that you are familiar with the default markup capabilities of your PDF review and markup application. PDF markup applications ensure that all your comments are organized and can easily be stepped through by the auditor without having to scroll searching for your feedback.
3. If you are using the free Adobe Reader, the steps to markup an audit are:
  - a. Ensure that you are in **Comments** mode and that the Comment toolbar is at the top of the application.
  - b. Select the text to comment on.
  - c. Click on the **Highlighter icon** to both highlight the text and to open the comment post window.
  - d. In the Comment post window type your feedback.
  - e. Then click **post**.



**COMPANY DETAILS**

Employer legal name	Acme Inc.
Employer trade name	Amce Bros.
COR number	netus
COR expiry	lacinia
Address	123 Main street Calgary AB T3H0T9
Phone number	555-829-2338
Fax	555-708-2661

**COMPANY CONTACT**

Name	Billy Snyder
Email	BSnyder@example.com

**WCB ACCOUNTS**

PROVINCE	ACCOUNT NUMBER	INDUSTRY CODE	WORK DESCRIPTION
AB	1234587	50714	General Trucking
		30412	Sheet Metal Shops

**Comments**

2 comments

PAGE 4

TJ 6:07 AM

This is not the phon number that is on file with the associaiton pelase confirm. Our record show 555-829-3328

TJ 6:07 AM

Highlighted Text

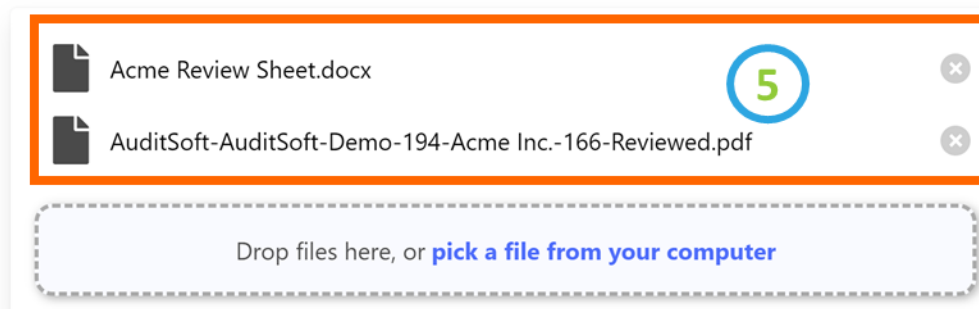
this is the incorrect account number should be 1234578

@

Post

- Once you have completed the review **Save** you work to your local hard drive

#### Internal Attachments



Acme Review Sheet.docx

AuditSoft-AuditSoft-Demo-194-Acme Inc.-166-Reviewed.pdf

Drop files here, or [pick a file from your computer](#)

#### Internal Note

Review has been completed but some minor corrections are required

Edit note

6

5. Now upload the completed review PDF document along with any other review checklists to AuditXchange by dragging and dropping the files
6. Add any Internal comments about the review.
7. Based on the outcome of the review you may Require Revision from the auditor



Generally, if there are ANY errors in the submitted PDF audit report they should be corrected by the auditor and resubmitted. The FINAL version of the audit that is submitted by the Auditor and that is accepted will become part of the audit database and may be accessible by both the Certification Body / Certifying Partner and the audited company in the future.

### 3.5.2. Reviewing an ASA audit

If the auditor submitted an ASA file and you are the assigned reviewer, you can open AuditSoft file directly from AuditXchange.

1. Ensure that you are assigned as the reviewer for the audit.
2. Ensure that the audit is in the **In Review** state.
3. Click on the .asa file and directly open it in AuditSoft.

**Report**  
AuditSoft-AuditSoft-Demo-194-Acme Inc.-164.pdf

**Audit file**  
AuditSoft-AuditSoft-Demo-194-Acme Inc.-164.asa

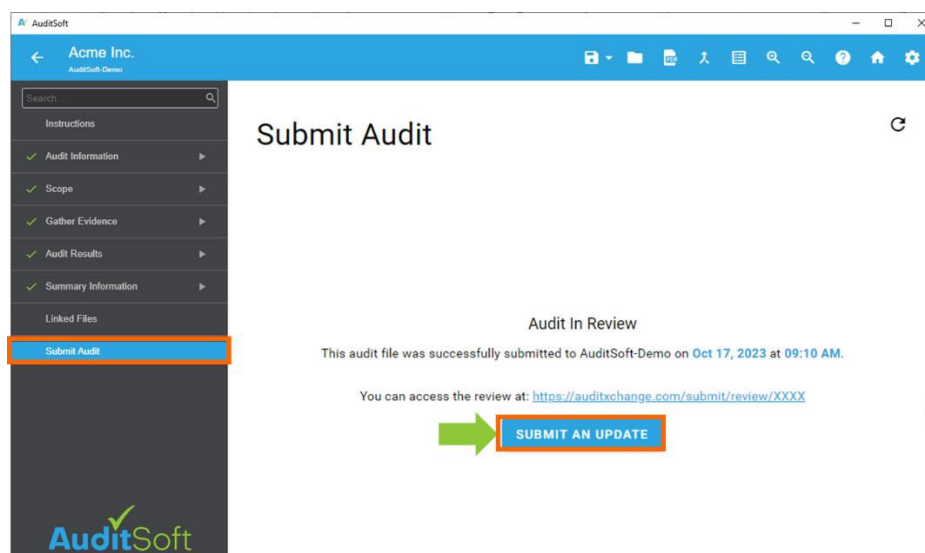
**Submission comments**  
None



Review started	May 23, 2023, 6:53 AM - TJ S. Admin
Review assigned to TJ S. Admin	May 23, 2023, 6:53 AM - TJ S. Admin ▼
New revision received	May 23, 2023, 5:29 AM - TJ S. Admin

**Note:** To ensure that the file is launched in AuditSoft ensure that you have completed the steps in 1.4 Browser Setup to have the .asa file **Always open with system Viewer**.

4. Edit the asa file as a reviewer
5. When the review has been completed **Submit** the final revision to be captured within the AuditXchange database for analytics purposes.



**Note:** You must be logged into AuditSoft with your reviewer account credentials. If you are not the **assigned reviewer**, or if the audit is not in the **In Review** state you will not be able to submit the changes to AuditXchange and you will receive a message similar to the one below:

## Submit Audit



### Unable to Access Audit Submission

Only the auditor and assigned reviewer can submit audits. Please ensure that there is an active submission and you are the assigned reviewer in AuditXchange. If you believe you are seeing this message in error, please contact an association administrator.

If this is the case:

1. Open AuditXchange and confirm that:
  - a. You are the **Assigned Reviewer**.
  - b. The audit is in the **In Review** state.
2. Click on the refresh button to refresh the page
3. You will now have the ability to submit

## 3.6. Require Revision

User Profile Required: Administrator, Reviewer

If, based on the **Review** the Reviewer determines that corrections are needed to the submitted audit the **Reviewer** can require the **Auditor** to submit a revision by:

1. Select **Require Revision**, which will open the notification page that will transition the audit from the state of being **In Review** to **Awaiting Revision**.

## Confirm Transitioning Submission to Awaiting Revision

**Report**

☐ AuditSoft-AuditSoft-Demo-112-Acme Industries Inc.-154.pdf

**Audit file**

None

**Attachments**

None

**Internal Attachments**

☒ Acme Review Sheet.docx

☒ AuditSoft-AuditSoft-Demo-194-Acme Inc.-166-Reviewed.pdf

Please confirm that you want to transition the audit submission for Acme Industries Inc. to Awaiting Revision.

Enter any comments relating to your decision here. These comments will be made available to the auditor and your association. If you choose not to send a notification email, the comments will still be visible to the auditor via the application.

**All feedback to auditors is sent anonymously.**

Your audit review has been completed.

There are however a few grammatical and spelling errors that must be completed. Please make corrections and resubmit your audit for final acceptance

**Add Attachments**

You have 9.0 MB remaining.

AuditSoft-AuditSoft-Demo-194-Acme Inc.-166-Reviewed.pdf

Acme Review Sheet.docx

Drop files here, or [pick a file from your computer](#)

Cancel

Confirm

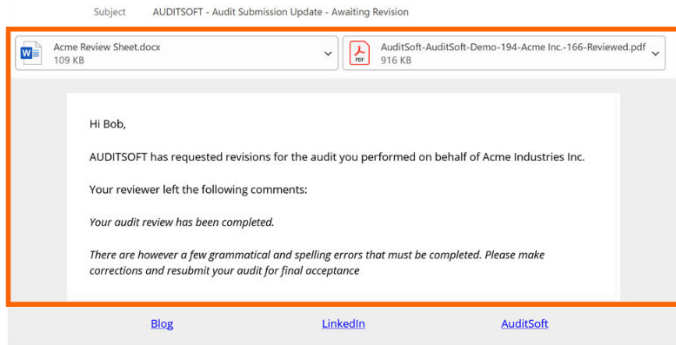
Confirm and notify auditor

- On this page you can type your feedback to the Auditor. Notification will be sent anonymously, and the identity of the **Reviewer** will not be revealed to the **Auditor**.
- On the left side of the page all the documents associated with the revision are listed. Flipping the toggle next to any document will automatically attach it to the email notification that will be sent to the Auditor.
- Select **Confirm and notify Auditor** to send notification.

Notification: There are two notification options when assigning a reviewer:

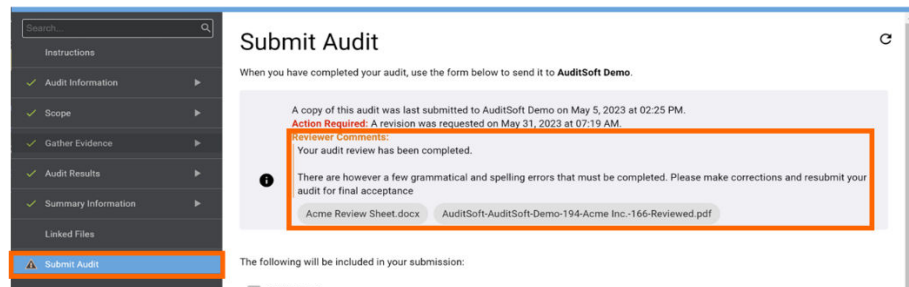
- Confirm and notify Auditor:**
  - The auditor will receive an email:  
**SUBJECT: [Certification Body / Certifying Partner] - Audit Submission Update – Awaiting Revision**
- Confirm:**
  - No email notification will be sent.

In addition to the email notification set to the Auditor the Auditor can also access all the information in the revision request directly from the Submit menu item in AuditSoft.



Email notification  
to Auditor

Reviewer comments  
in AuditSoft



### 3.7. Managing Revisions

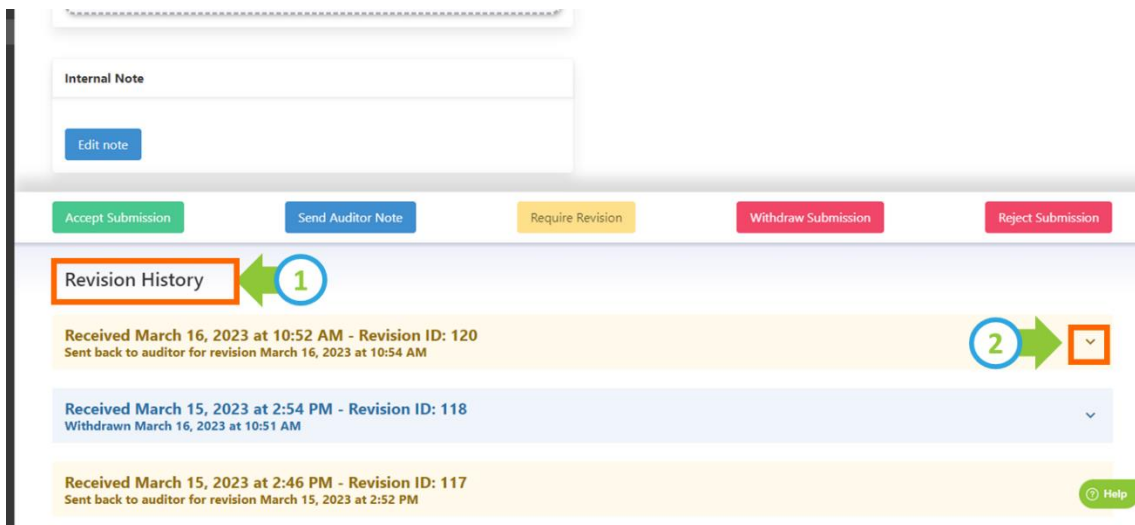
User Profile Required: Administrator, Reviewer

1. When an **Auditor** submits a revision, the revision is by default assigned to the **Reviewer** that requested the revision (to assign the review to another user see At the bottom of the current revision of any submitted audit there is a Revision History section that list all prior revisions that were received along the date and time stamp and outcome of the revision review
2. To see the details of any revision it can be expanded.

Reassign Review).

If an audit review resulted in at least one revision (see above) then each prior revision will be listed below the current revision.





3. At the bottom of the current revision of any submitted audit there is a Revision History section that list all prior revisions that were received along the date and time stamp and outcome of the revision review
4. To see the details of any revision it can be expanded.

### 3.8. Reassign Review

User Profile Required: Administrator, Reviewer

There are many reasons why an audit review may need to be reassigned before the review has been completed. Some of these reasons can include:

- Reassignment of reviewer
- Balancing of resources
- Vacations and/or sick leave
- etc.

The current **Reviewer** or any **Administrator** can reassign an audit at any time by clicking Reassign Reviewer.

Reassign Reviewer



When you **Reassign Reviewer**, it is **highly recommended** that you provide a detailed reason for the transfer as this will become part of the audit review history.

Assign Reviewer

Reviewer

David Wilson (association) ▼

Reason

I am on Vacation for the next week.

As discussed please complete this review.

Thanks!

Cancel

Confirm

Confirm and notify auditor

Notification: There are two notification options when you Reassign Reviewer, both result in the same notification being send:

1. **Confirm / Confirm and notify Auditor:**
  - a. The **Reviewer** will receive an email:  
**SUBJECT:** AuditXchange: Assigned Audit Review

### 3.9. Accept

User Profile Required: Administrator, Reviewer

If all required revisions have been made and the audit review has been completed select Accept to complete the review and to add the audit to the AuditXchange database for analytics.

#### 3.9.1. Correcting the Company Name and/or Account Number

User Profile Required: Administrator

If the submitted audit Company Name is incorrect (see Data Error Warning):

1. Click on the link in the Warning:

**Warning:** This audit has been accepted, but it won't show up on your dashboard because it contains validation errors. Please [click here](#) to resolve the errors.

2. Select the record with the error.
3. In the **Resolve Audit Upload Errors** page, you can:
  - a. Correct the submitted and approved audit Company Name,
  - b. Correct the submitted and approved audit Account Number or,
  - c. Correct the Company Name of the existing AuditXchange Company profile.

### Resolve Audit Upload Errors

**Upload Error:** Audit company name must match existing company name

Audit Company	Existing Company
<b>Company Details</b> Name: <span style="border: 1px solid red; padding: 2px;">Acme Bros.</span> <span style="border: 1px solid blue; border-radius: 50%; padding: 2px;">a</span>	<b>Company Details</b> Name: <span style="border: 1px solid red; padding: 2px;">Acme Industries Inc.</span> <span style="border: 1px solid blue; border-radius: 50%; padding: 2px;">c</span>
<b>WCB Accounts</b> AS ▾ 1111111 <span style="border: 1px solid blue; border-radius: 50%; padding: 2px;">b</span>	<b>WCB Accounts</b> AS ▾ 1111111
<b>Audit</b> Auditor: Bob Smith Role: Internal Protocol: AuditSoft-Demo Completion Date: 6/2/2023	<b>Audits</b> <div style="border: 1px solid gray; height: 40px; margin-bottom: 5px;"></div> Auditor: Sally Jones Role: Internal Protocol: AuditSoft-Demo Completion Date: 6/2/2023

Resolve Audit
Reject Upload
Cancel

## 4. Questions and Support

If you have a question about how the AuditXchange software application works, there is an extensive online manual including many frequently asked questions (FAQ) responses that can be accessed at:

- **Online FAQ articles:** <https://auditsoft.co/support/>

Or if require software support, please contact AuditSoft at:

- **Email:** [support@auditsoft.co](mailto:support@auditsoft.co)
- **Phone:** 1 (888) 514 3534

## 5. Appendix A: Sample Quality Assurance (QA) form

### **Step 1: Administrative “Good standing” checks**

Audit Details (Check all items that have been confirmed):

<div style="background-color: #00AEEF; color: white; padding: 2px; margin-bottom: 5px;"><b>Employer</b></div> <input type="checkbox"/> Employer Legal Name <input type="checkbox"/> Employer Contact <input type="checkbox"/> Employer Address <input type="checkbox"/> Employer Phone / Email <input type="checkbox"/> WCB Account(s) in Scope <input type="checkbox"/> Industry Code(s) in Scope <input type="checkbox"/> Membership current and in good standing <input type="checkbox"/> OHS Management System training Completed	<div style="background-color: #00AEEF; color: white; padding: 2px; margin-bottom: 5px;"><b>Auditor</b></div> <input type="checkbox"/> Lead Auditor <input type="checkbox"/> Lead Auditor Company <input type="checkbox"/> Lead Auditor Address <input type="checkbox"/> Lead Auditor Phone / Email <input type="checkbox"/> Lead Auditor Certified Number <input type="checkbox"/> Lead Auditor Certification is current <input type="checkbox"/> Lead Auditor Signed Ethics
	<div style="background-color: #00AEEF; color: white; padding: 2px; margin-bottom: 5px;"><b>Team Auditors</b></div> <input type="checkbox"/> Audit Team Listed <input type="checkbox"/> Audit Team Certified <input type="checkbox"/> Audit Team Certification is current <input type="checkbox"/> Audit Team Signed Ethics

### **Step 2: Audit scope completeness check**

Audit Scope: (Check all items that have been confirmed):

**Audit Scope**

☐ Audit purpose aligns with audit cycle  
☐ Audit Scope  
☐ Operations Audited  
☐ Organizations audited  
☐ Audit completed within require timelines  
☐ Required docs attached (optional)
**Representative Sampling****Employees****Sites**

### **Step 3a: Audit content review**

For each audit question the reviewer must confirm (Check all items that have been confirmed):

Audit Questions	
<input type="checkbox"/>	Notes provided respond to the intent of the question
<input type="checkbox"/>	Notes provided do not contradict other responses
<input type="checkbox"/>	Submitted documents are appropriate (if applicable)
<input type="checkbox"/>	Response and attachments may carry over to next two maintenance years
<input type="checkbox"/>	Reviewer comments to auditor (optional)
<input type="checkbox"/>	Correction required before approval can be granted (optional)

Summary Documents	
<input type="checkbox"/>	Contradictions exist from one element to another.
<input type="checkbox"/>	Summary Score Sheet accurately represents overall scores.
<input type="checkbox"/>	Report has a minimum of grammar and spelling errors.
<input type="checkbox"/>	Summary includes key suggestions for improvement.
<input type="checkbox"/>	Summary includes key process strengths.
<input type="checkbox"/>	Final Draft approved.
<input type="checkbox"/>	Final draft rejected (Quality Issues, Templating, Boiler plating, Timelines missed)
<input type="checkbox"/>	General comments for the auditor

### **Step 3b: Auditor performance review**

For each element in the performance of the auditor: (Check all items that have been confirmed):

Element X	Weight	Assessment	Reviewer Notes
Validation methods applied as per instructions (DIO).	10%		
Scores are applied according to association instructions/guidelines.	10%		
For each question, notes adequately justify the scoring and there is consistency between notes and score awarded. Attached evidence is sufficient (if required) No contradictions exist between one question and another.	45%		
Program “strengths” are noted for the element and are appropriate to the notes and scoring.	15%		