

USER GUIDE



Getting Started with AuditSoft™ for

Manitoba SAFE Work Certified Audit

VERSION 1.1 May 8, 2023



AuditSoft

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Introduction

SAFE Work Manitoba (SWMB), a division of the Manitoba WCB, is dedicated to the prevention of workplace injury and illness. Working with partners in the safety community, SWMB provides prevention education, safety programming, consulting, and strategic direction to create a culture of safety for Manitoba.

SWMB has established a standard for occupational safety and health in the province called SAFE Work Certified. SAFE Work Certified sets the standard for safety and health certification programs offered by industry-based safety programs and associations (IBSPs). These safety and health certification programs are offered to Manitoba employers to help reduce workplace injuries and illnesses and promote a culture of safety in Manitoba, in turn providing reductions and rebates in WCB premiums.

There are currently 4 IBSPs that are Certifying Partners (CPs) for the SAFE Work Certified program:

- Made Safe Manitoba at info@makesafe.ca.
- RPM Trucking Industry Safety at info@trucking.mb.ca.
- Sales and Service Safety Association(S2SA) at info@s2sa.ca.
- Manitoba Association for Safety in Healthcare (MASH) at mashmb.ca

CPs are tasked with providing direct support and resources needed by employers to obtain safety and health certification. Currently, each CP employs or contracts auditors to conduct audits of companies seeking this certification. Based on the result of the audit, the CP would recommend employers for certification and SWMB grants the certification. As part of their process, SWMB may review the detailed audit for quality assurance purposes.

This training program is the result of a 2022 modernization initiative that replaced the outdated and error prone excel spreadsheet with AuditSoft, the industry leading electronic audit software solution.



As part of the modernization project some audit questions and relationships between questions were changed and/or updated.

IMPORTANT: The AuditSoft implementation covered in this document includes these SAFE Work Manitoba (SWMB) approved changes and the audit covered in this document is not identical to the obsolete spreadsheet audit that was used in prior years.

Getting Started

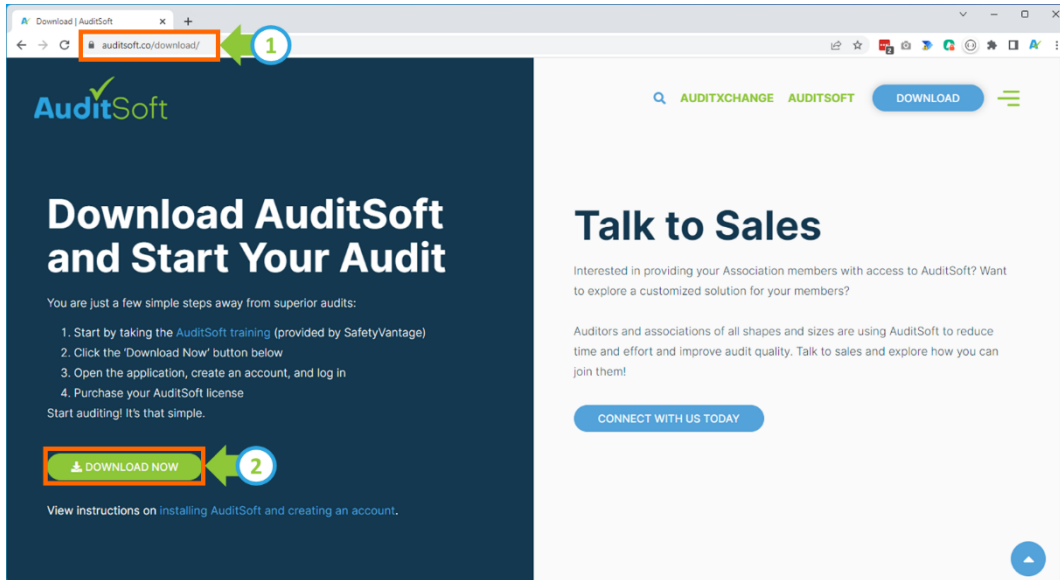
Get AuditSoft

AuditSoft is a Windows desktop application that must be installed from the AuditSoft website.

1. Open a browser to <https://AuditSoft.co/download>
2. Click Download Now
3. Click on the downloaded file to install AuditSoft.



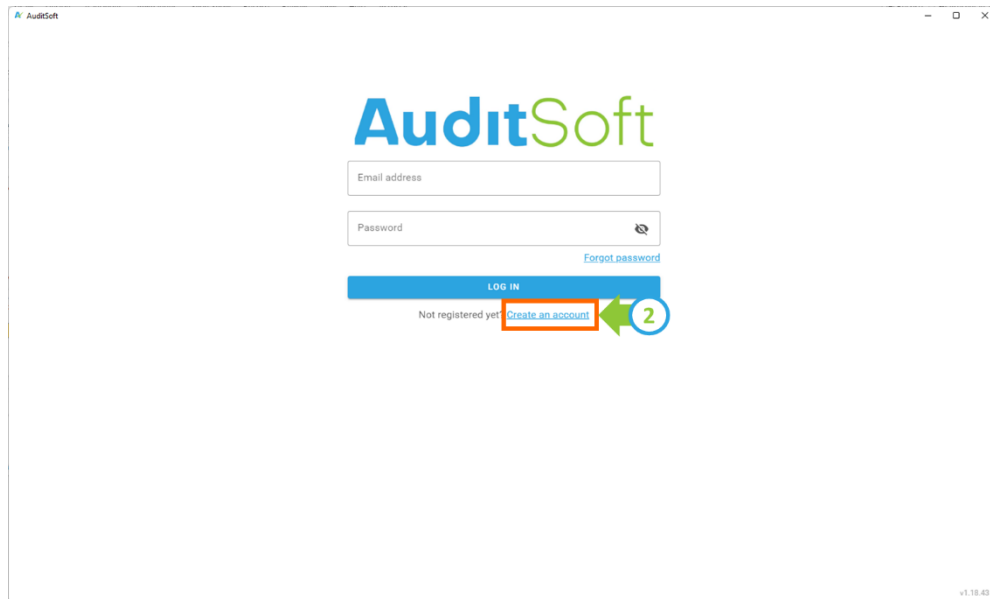
Automatic Updates: Once you have installed AuditSoft it will automatically check for updates whenever it is opened and will automatically update.



Create an Account

Before you can start using AuditSoft you must first create an Account. Your account is used to manage all your licenses, backups, etc. To create an account:

1. Open AuditSoft
2. Click **Create an Account**
3. Enter your credentials (Name, email address and password)
4. You will be sent an email to verify your email address and once verified you can log in and start using AuditSoft.



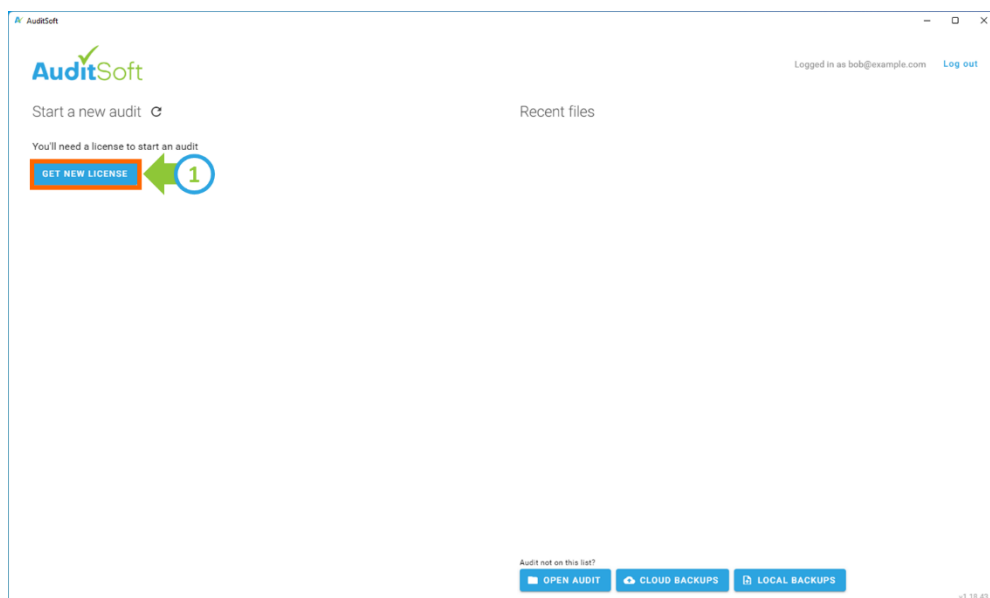
Get a License

A license is required for every audit that is started.

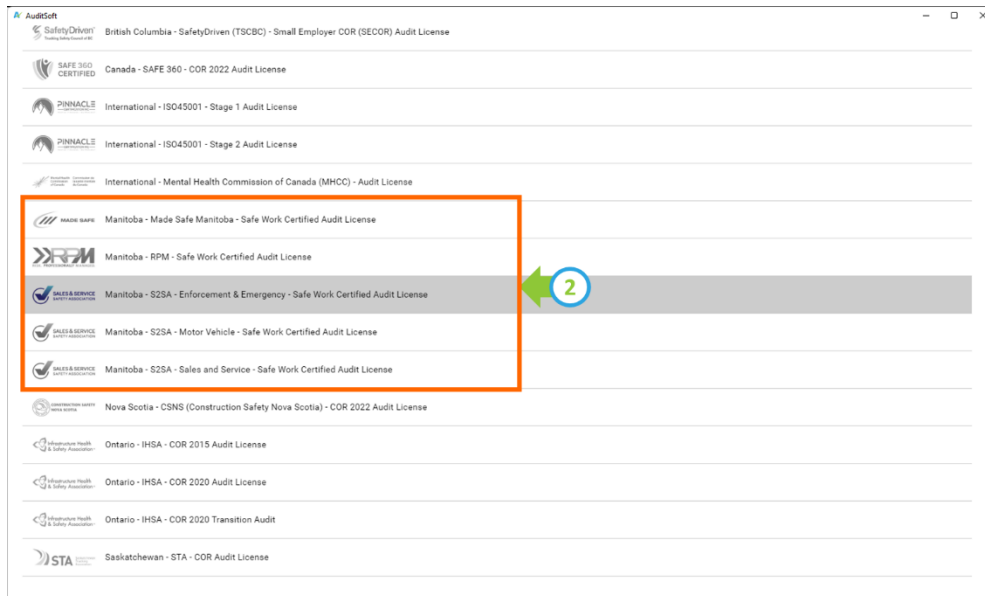
- Licenses must be requested from your Industry-Based Safety Program and Association (IBSP) and will be approved by your IBSP.
- Each license is issued for the specific **name of the company** that will be audited.
- The license is valid for one audit and for 9 months (270 days) after it has been approved. This means that you must complete your audit of the company within 9 months from the day that you request a license.

To obtain a license:

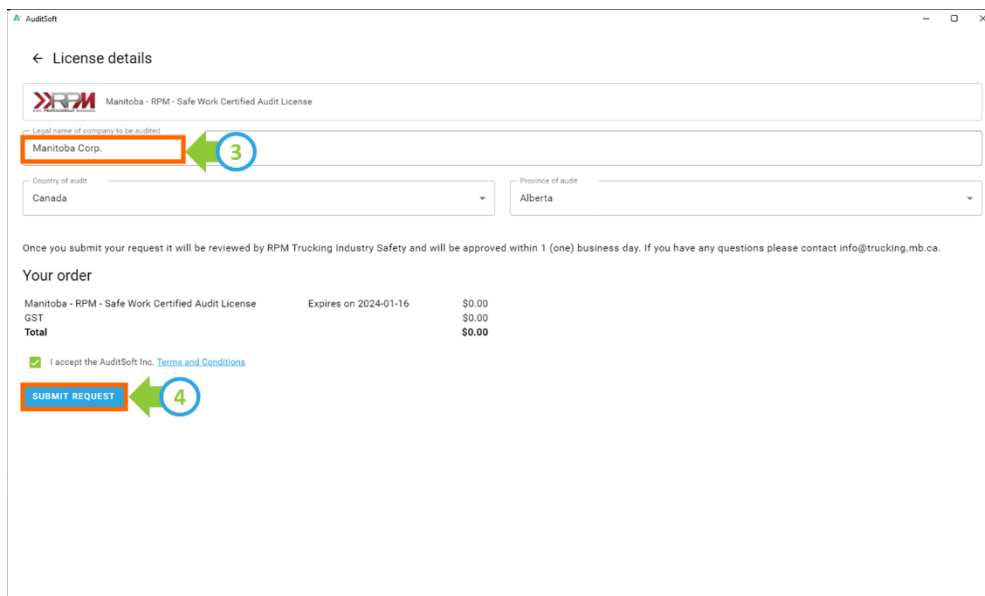
1. Click on **Get new license**.



2. Select your IBSP and the required SWC audit from the list.



3. Enter the name of the company to be audited.

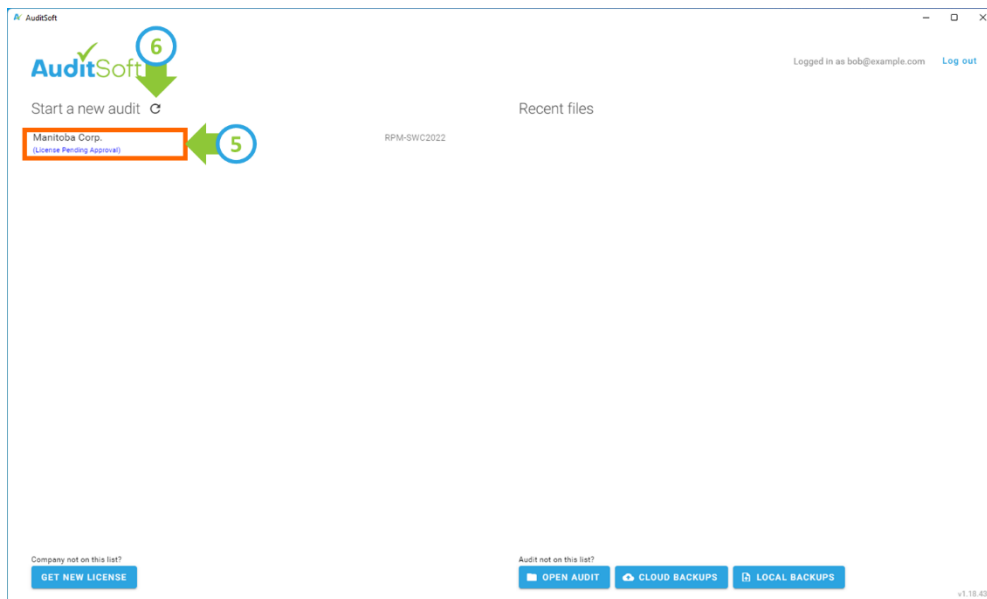


Training License: If you are not ready to start an audit you can request an evaluation license. In the **Legal name of company to be audited** enter:

“Evaluation”

4. Click **Submit** your license request to your IBSP.
5. You will be returned to the AuditSoft **Home** page and the requested license with the status, **License pending approval**, will be listed on the left side of the page.

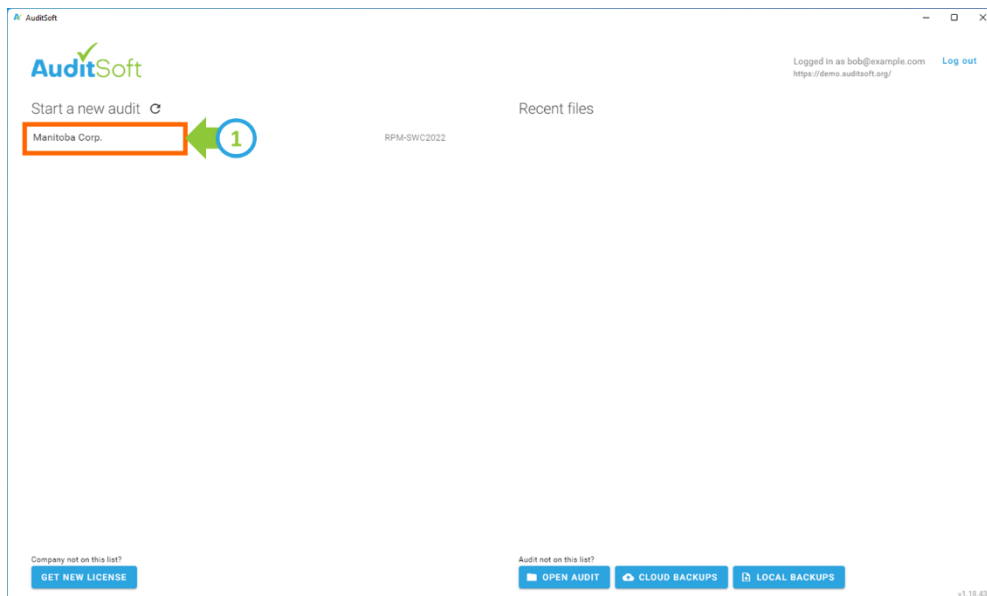
6. To check if the license has been approved click the refresh button. Once approved the **License pending approval** status will be removed and you are ready to start your audit.



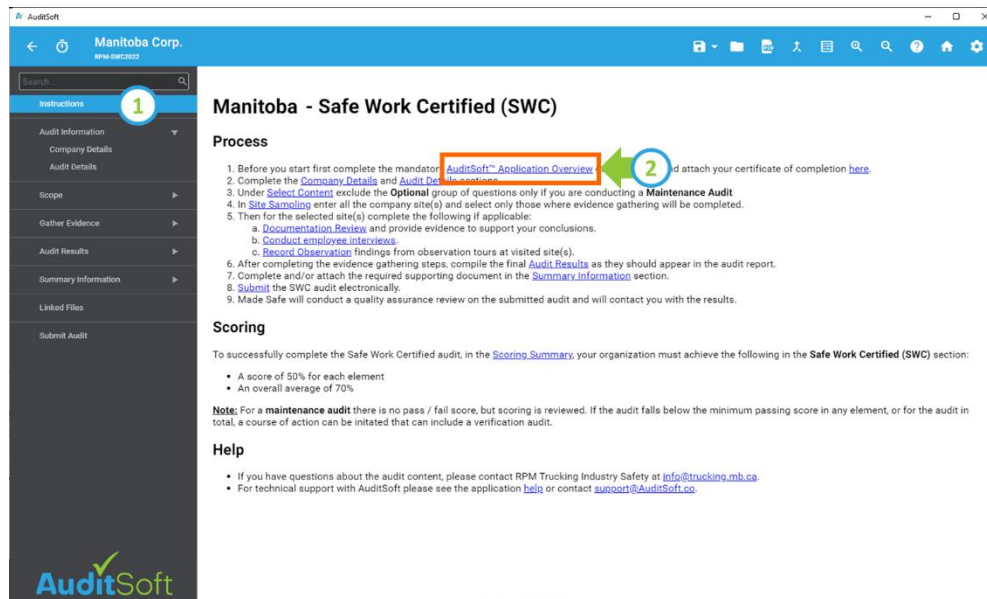
Start Your Audit

Once the AuditSoft License has been approved you can:


1. Click on the license name under the **Start a new audit** column.



1. This will open a new audit and the audit **Instructions** page will be displayed. Read the instructions.



2. Before you proceed click on the training link and complete the **AuditSoft Application Overview online training**.



Online training is mandatory: Please do not proceed unless you have completed the 45-60min online training course. The rest of this guide assumes you have completed the training and that you are familiar with the AuditSoft workflow and terminology covered in the training.

Note: Remember to download a copy of your certificate of completion. You will need it to submit your audit.

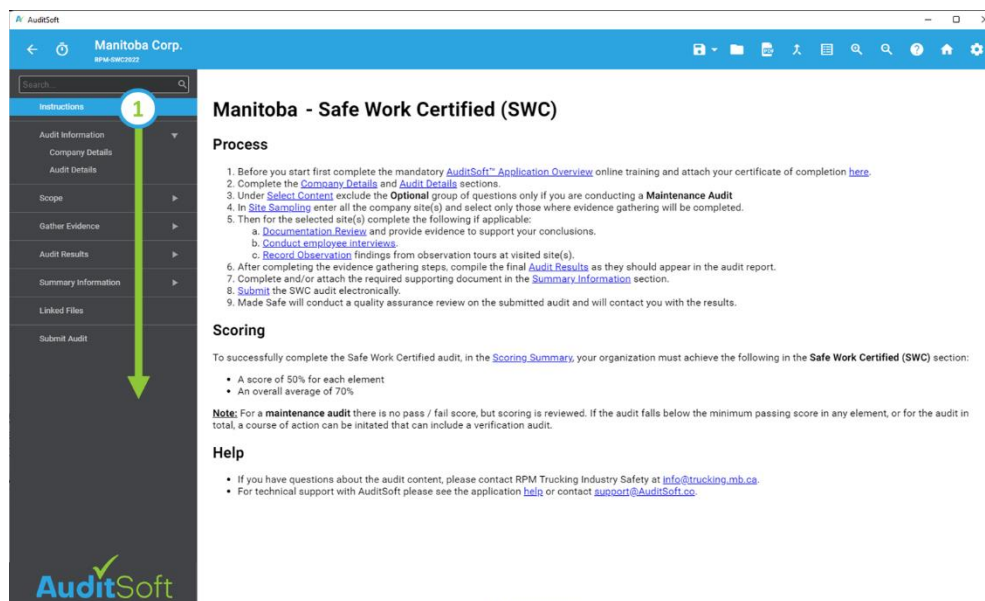
Audit Workflow

Now that you have completed the **AuditSoft Application Overview Online** training and you have started a new audit we can proceed.



Please note that the remainder of this guide will only cover those items that are specific to the Manitoba IBSPs and will not repeat the content covered in the AuditSoft Application Overview

1. The workflow of every audit is to start at the instructions and to then follow the workflow systematically from top to bottom, completing each section in the left menu before moving to the next.



Audit Information

Company Details

List the details of the company or organization that is being audited. Companies often merge or are acquired and AuditSoft does support changes in business structure:

1. You do have the ability to add multiple Workers Compensation Board (WCB) numbers.
2. And multiple Classification codes can be assigned to each WCB number.

Audit Details

An audit is a snapshot that represents the state of a company’s occupational health and safety program at a specific point in time. To ensure that the audit is completed in a timely matter to capture the snapshot, guidance is provided to the auditors on the amount of time that the audit should take:

- The amount of time from the first day on site until the last day on site represents the evidence gathering phase of the audit and this phase should not exceed: **45 days**.
- The amount of time allotted for completing the audit report after the last day on site until the audit is submitted should not exceed: **5 days**.

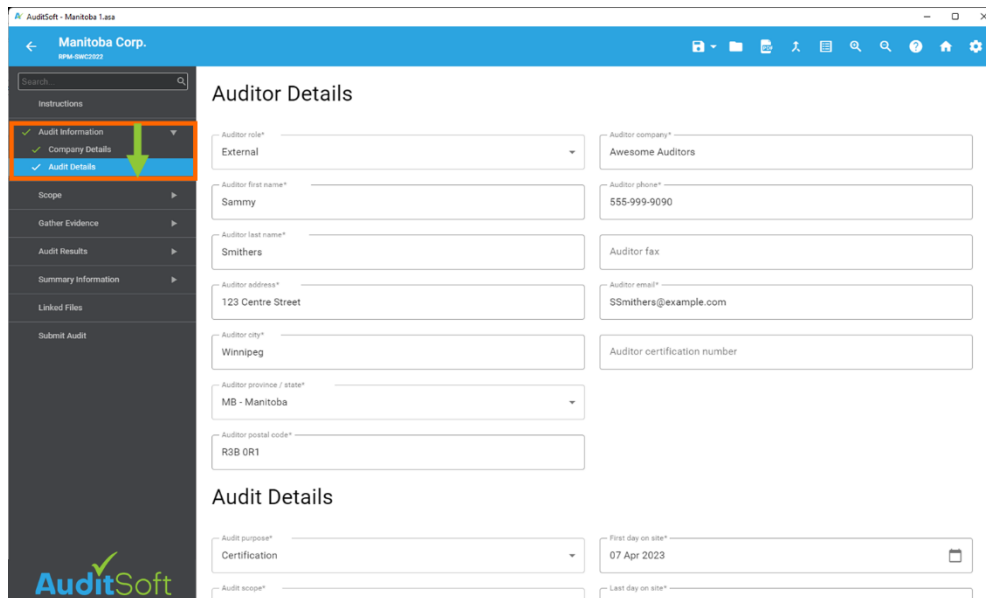
To remind the auditor of this guidance:

1. There is a reminder clock in the upper left corner.
2. The available time on the clock is determined by the dates in the Audit Details section.



Your IBSP is the final authority on the amount of time that can be taken to complete your audit and your IBSP may allow you to exceed the suggested time frames.

After the Audit Information section has been completed, with a green check mark next to each subsection, it is time to move to the next section of the audit.



Scope

Select Content

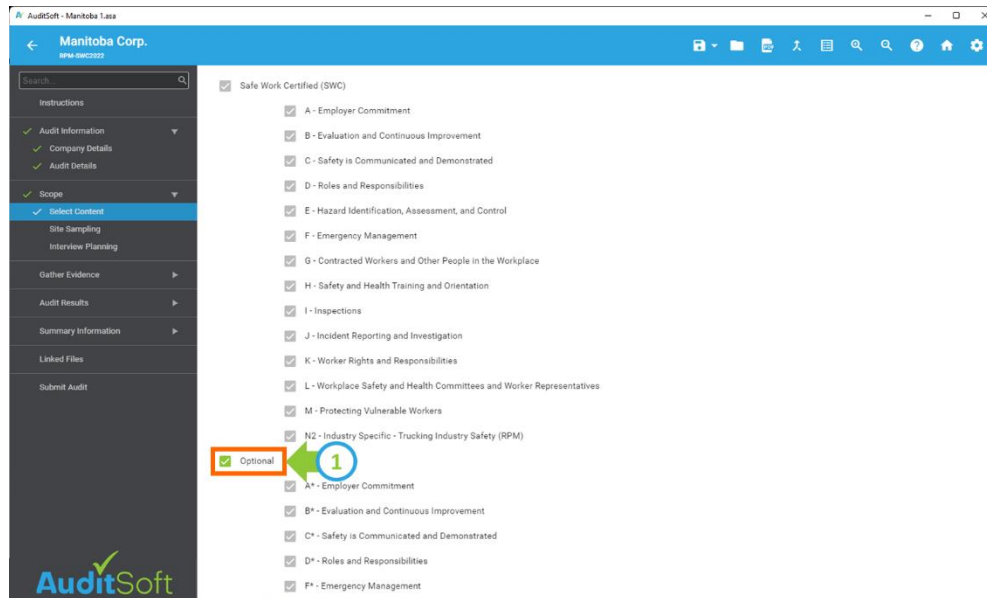
There are five distinct sections to the audit:

1. Safe Work Certified (SWC)
2. Optional
3. Safety Culture
4. Safety Perception
5. Culture of Safety Maturity

Of these sections only one section can be excluded. Please refer to the Instructions menu item for more details. In the Instructions section it states that:



If you are conducting a **Maintenance Audit** the **Optional** group of questions (see 1 below) can be excluded from the audit.



Site Sampling

An important part of audit planning is to determine which sites to visit, how many interviews to do and the number of observation tours to complete.

1. In this section add each company site,
2. For each site, enter the number of employees of each role that work at the site.
3. Finally, we need to enter the number of employees that fall within a specific group (or attribute group) that will need to be asked additional questions during an the audit interviews, for example of the 14 employees at the Winnipeg site there are 4 employees that are part of the WSH committee.

Site Sampling Summary

Site	Type	Province/State	Description of operations	Last audited	Documentation	Interview	Observation	Manager	Supervisor	Worker	Vulnerable Worker	WFO/Committee	Contract Worker
Winnipeg	Head office	MB - Manitoba	Head office	2022	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2	4	8	1	4	1
Oak Bluff	Additional	MB - Manitoba	Warehouse	2022	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1	3	15	0	4	0
Sanford	Additional	MB - Manitoba	Operations office	2021	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1	2	12	2	4	0

Total Sites: 3
 Sites included: 0
 Minimum required sites to include: 2
 Total employees: 48
 Total interviewed: 0
 Minimum required interviews: 18
 Adjust these numbers manually:

It is important to enter all the sites and all the employees at each site. If you have many sites (typically over 30) you can select **Adjust these numbers manually** to add many sites at once (see item 4)

- Based on the number of employees entered, a recommended minimum number of interviews is calculated. This recommended number of interviews can be used in the Audit Plan that is submitted to the IBSP, or if you already have an approved Audit Plan with a different number of interviews the recommended number can be over written – see Interview Planning below.

Next determine which sites will be included in the audit. To be included means that you will perform at least one evidence gathering activity at the site. There are 3 evidence gathering methods:

- D - **Documentation** review.
- I - conducting employee **Interviews**.
- O - completing and **Observation** tour.

- Always include the head office in the audit. In most cases you will want to complete all 3 evidence gathering steps (DIO) at the head office.
- For other sites you may or may not include a documentation review (more about this in the documentation review section), Interviews and observations based on your IBSPs recommendation and your audit plan.

Site Sampling Summary

Site	Type	Province/State	Description of operations	Last audited	Documentation	Interview	Observation	Manager	Supervisor	Worker	Vulnerable Worker	Wish Committee	Contract Worker
Winnipeg	Head office	MB - Manitoba	Head office	2022	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	6	1	4	1		
Oak Bluff	Additional	MB - Manitoba	Warehouse	2022	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1	3	15	0	4	0
Sanford	Additional	MB - Manitoba	Operations office	2021	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	7	2	4	0		

Summary:

- Total Sites: 3
- Sites included: 2
- Minimum required sites to include: 2
- Total employees: 48
- Total interviewed: 0
- Minimum required interviews: 18

Adjust these numbers manually

Interview Planning

The purpose here is to ensure that you select a representative sample. If you have a pre-approved Audit Plan you can enter the custom plan by:

1. Selecting the Use Custom Interview Plan option
2. Entering the approved number of interviews that need to be completed at each site.
3. And select the option to overrides the automatically calculated minimum number of required interviews with the approved number of interviews.

Interview Planning

Site	Manager	Supervisor	Worker
Sanford	1	2	6
Winnipeg	1	2	4

This interview plan overrides the automatically calculated minimum number of required interviews

GO BACK TO USING RECOMMENDED INTERVIEW PLAN

Summary:

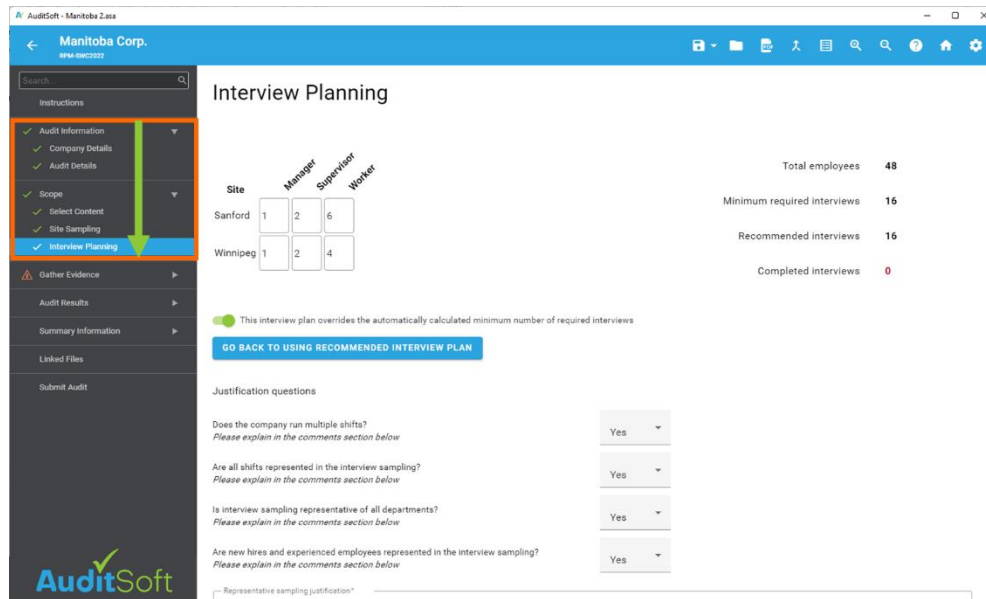
- Total employees: 48
- Minimum required interviews: 16
- Recommended interviews: 16
- Completed interviews: 0

Justification questions:

- Does the company run multiple shifts? Yes
- Are all shifts represented in the interview sampling? Yes
- Is interview sampling representative of all departments? Yes
- Are new hires and experienced employees represented in the interview sampling? Yes

Representative sampling justification*

After the Scope section has been completed, with a green check mark next to each subsection, it is time to move to the next section of the audit.



Gather Evidence

When gathering evidence, it is standard audit practice to visit one site at a time. At each visited site:

- the first step is to review documentation (D) to ensure that policies and procedures are in place,
- next interview (I) employees to verify that they are aware of the policies and procedures,
- and finally complete an observation (O) tour to confirm that policies and procedures are being adhered to.

With the use of technology and specifically online document repositories (Dropbox, SharePoint, etc.) and video conferencing tools (Zoom, Teams, etc.) some of the D and I tasks can be completed remotely.

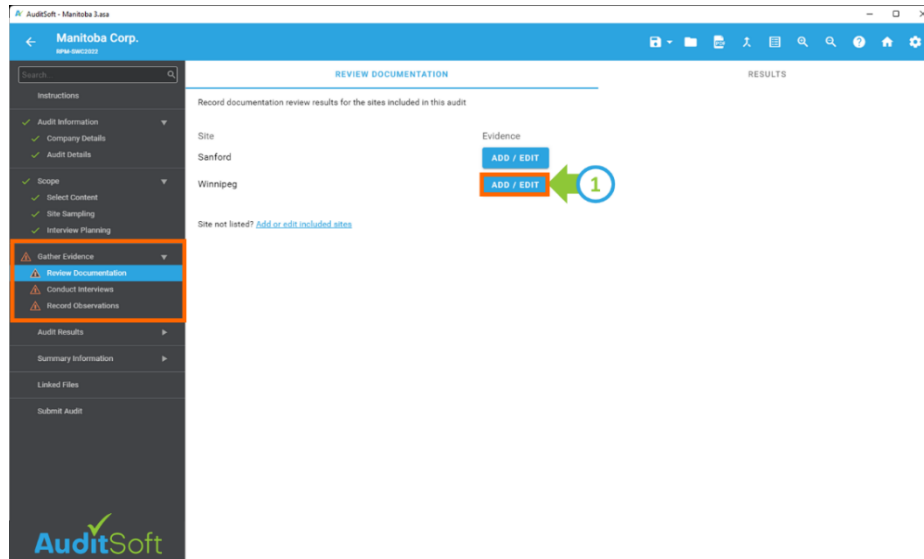
Review Documentation

When you start an audit, it is a best practice to start with a documentation review at the Head office. Depending on the documentation available at the Head office you may not have to review documentation at subsequent sites. During the documentation review there are generally two types of documents that are encountered:


- **Directive Documents** – these include policies and mission statements that apply to the entire company. Generally, because they are companywide documents, they only need to be reviewed at the head office. They are the same at every site and can therefore be omitted and do not have to be reviewed and scored when visiting subsequent sites.
- **Operational Documents** - these on the other hand, are site specific and include pre-job hazard assessments, inspections and site-specific job descriptions that are specific to each site, if these documents cannot be accessed at the head office they should be reviewed at each included site.

To start the documentation review at the head office:

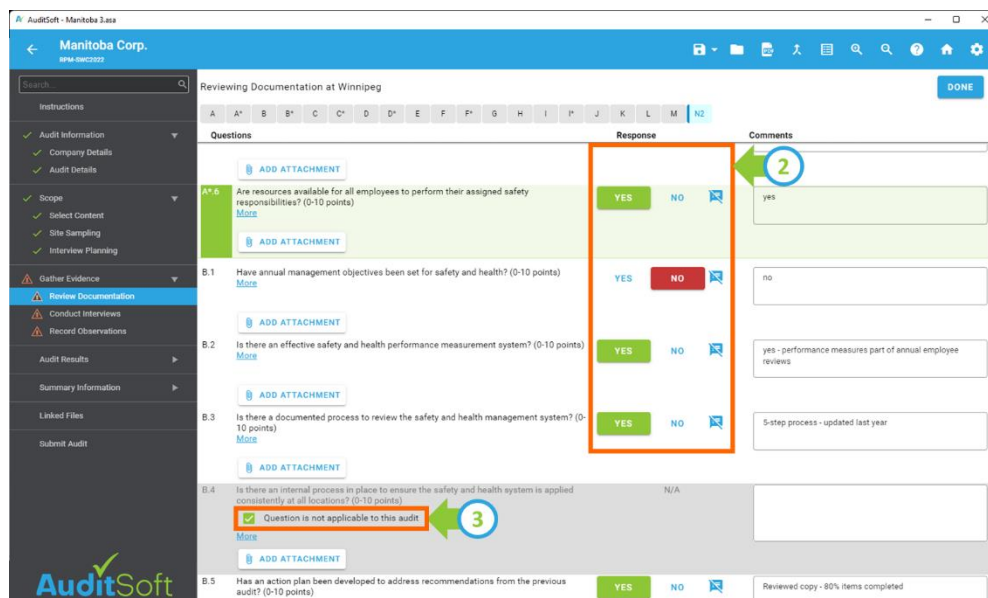
1. Select the head office name on the Review Documentation page.



2. All documentation review questions should be answered at the Head office.
3. The only questions that do not need to be answered are those optional questions that may not be applicable and that can be marked as not applicable to the audit.

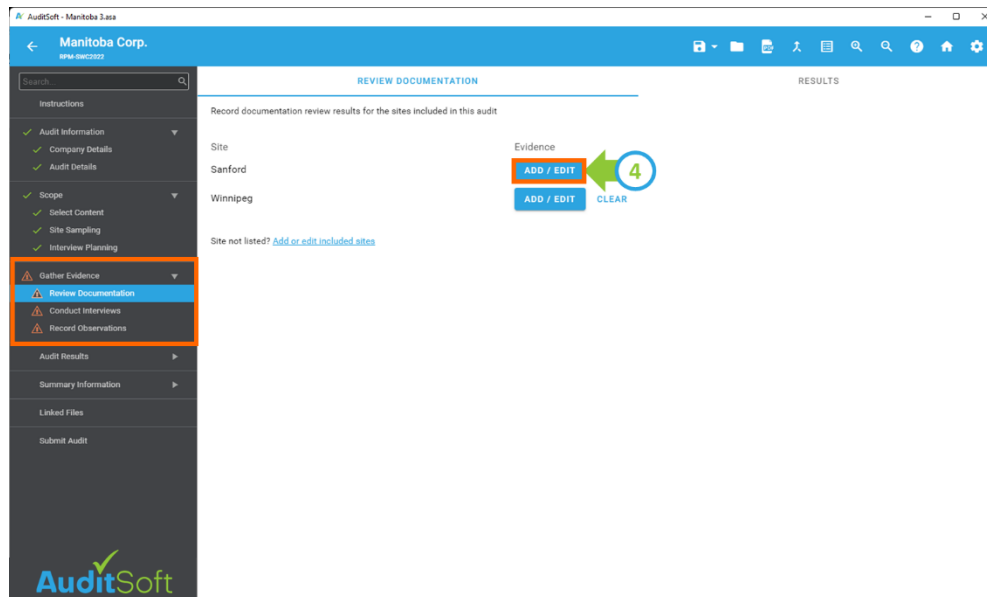


Questions that are marked as **“Question is not applicable to this audit”** will not be scored and will not be included in the overall audit pass/fail calculations.

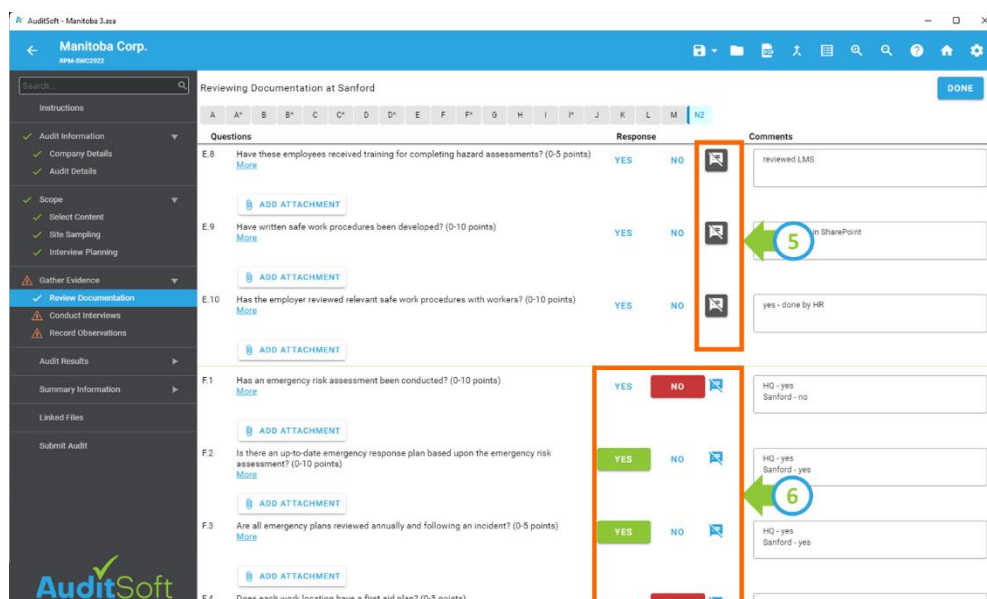


At the start of the Review Documentation section the differences between directive and operational documents were discussed. If all the operational documents required for the audit were not available at

the head office for review, it may be necessary to review only those operational documents that were not available as part of a documentation review at other site(s).



4. Start the documentation review at the next site.
5. At the site questions related to directive documents, that have already been reviewed at the head office, can be ignored and can either be:
 - a. marked as **Not applicable to site**, or
 - b. can be left blank.
6. Questions related to operational documents that are specific to the site, and that could not be reviewed at the head office, like site specific emergency response plans should be answered.





The decision as to whether operational documentation should be reviewed only at the head office or also at additional sites will be determined by the availability of documents and is ultimately a decision that each auditor must make on a case-by-case basis.



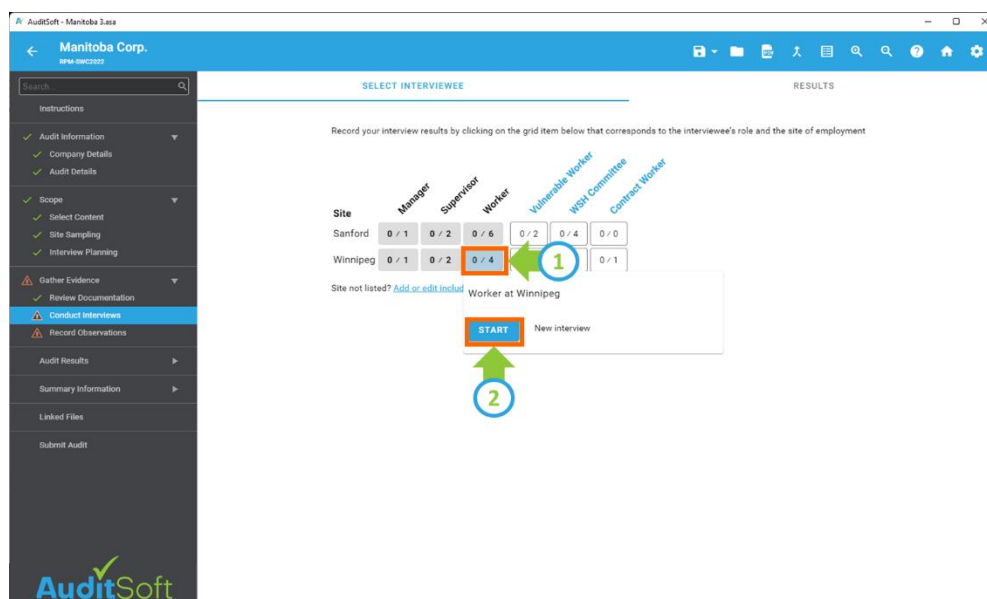
Averaging the Documentation % **Compliant** over multiple sites is calculated based on a **Mathematical average**. For example: if on an operations document review you assign a “Yes” or 100% Compliant at the head office and a “No” or 0% Compliant at another site the **Result** that will be used for scoring will be $(100\% + 0\%) / 2 = 50\%$

Conduct Interviews

After confirming the existence of the required documentation, the next step is to verify how well the health and safety system is communicated to employees by determining if they were included in the development of the program and the confirm that they are aware of the existence of procedures and policies and that these are followed as prescribed.

It is an industry best practice to interview employees one-on-one in a private setting where they can speak openly. To start an interview:

1. Select the role of the person that you are interviewing at the site where they work.
2. Then select Start.

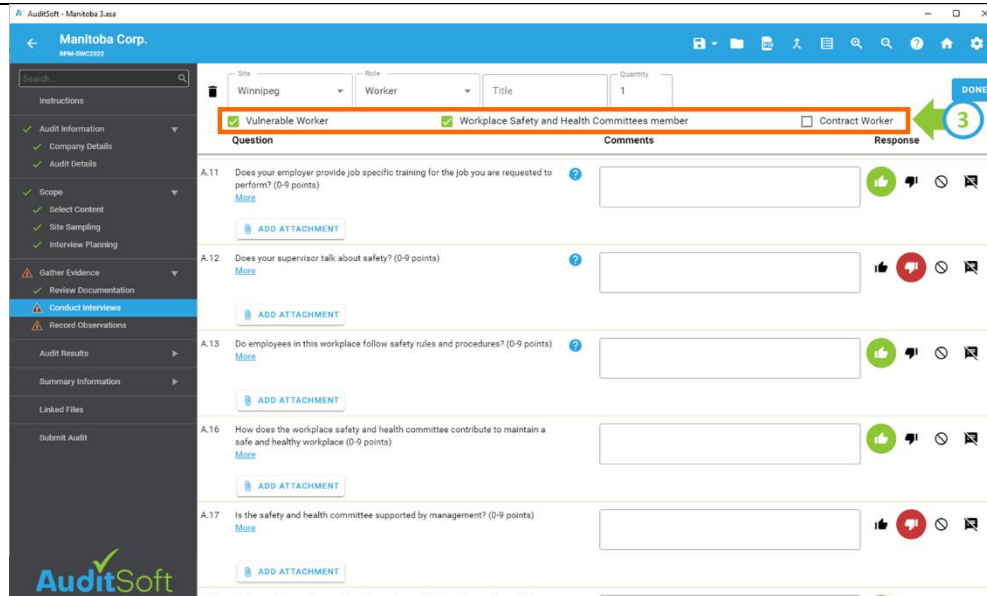


The Interview page will only list questions that are applicable to the role of the interviewee that was selected.

- At the top of the page, based on the role, there may be one or more employee attributes that can be selected (these can include “Vulnerable worker”, “Workplace Safety and Health Committee Member” and/or “Contract worker”). Each of these attributes is associated with additional questions that are added to the questions list if the attribute is checked.



In the current implementation of the Safe Work Manitoba audit questions set there are a few questions that are very similar or even identical. This is by design as these question feed different parts of the audit.



Record Observations

The final evidence gathering step is to complete a tour of the site(s) that were visited and to record observations. The goal is to get a sense of the overall level of compliance with the standards and company policies and procedures.



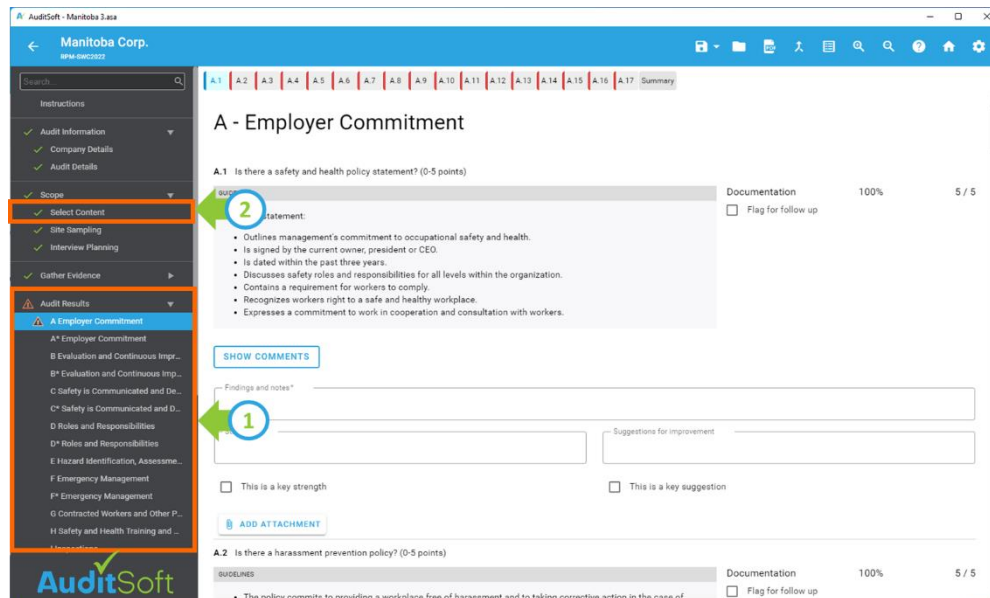
Averaging the Observation % **Compliant** over multiple sites is calculated based on a **Mathematical average**. For example: if based on your observation you assign a “Yes” or 100% Compliant at the head office and a “No” or 0% Compliant at another site the **Result** that will be used for scoring will be $(100\% + 0\%) / 2 = 50\%$

The gathering of evidence represents the bulk of work in any audit and after completion the Gather Evidence section will be marked with a green check mark next to each subsection. It is now time to move to the next section of the audit.

The screenshot shows the AuditSoft web application interface for 'Manitoba Corp.' with the URL 'https://app.auditsoft.com'. The page title is 'RECORD OBSERVATIONS'. The left sidebar contains a list of instructions, with 'Record Observations' highlighted in blue and a green arrow pointing to it. The main content area has a search bar and a 'RECORD OBSERVATIONS' header. Below the header, there is a section for 'Record your site tour observations from the sites included in this audit'. The 'Site' field contains 'Winnipeg'. The 'Evidence' section has 'ADD / EDIT' and 'CLEAR' buttons. A link 'Site not listed? Add or edit included sites' is visible. The bottom of the sidebar features the AuditSoft logo.

Audit Results


The audit result section is where we draft the final audit responses that will appear in the report. Any notes that we recorded during the Evidence Gathering steps can be accessed and referenced to formulate the final audit response.

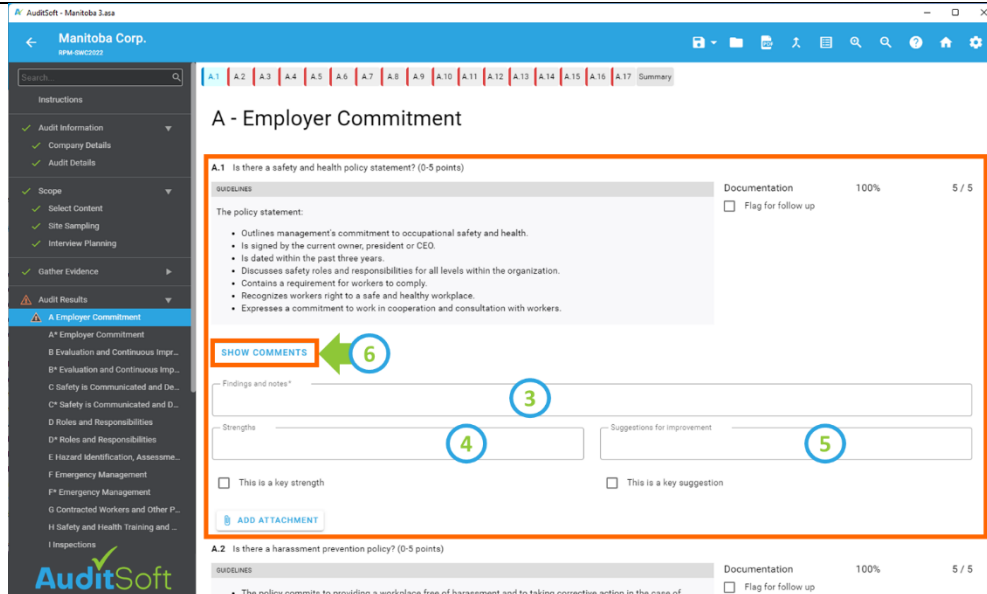


1. **Audit Results** contains approximately 23 elements and sub-elements that address the different parts of the SafeWork Certificate (SWC) audit.
2. Return to the **Select Content** section to review the grouping of these elements and sub elements into the 5 major sections of the audit. They are:
 - Safe Work Certified (SWC): Elements A-N
 - Optional (all elements with an *): Elements A* - I*
 - Safety Culture: Element O
 - Safety Perception: Element P
 - Culture of Safety Maturity: Element Q

Each element of the audit has several questions and when completing the questions, it is important to keep the content separate and to not duplicate content. In general, there are three (3) text areas per question for recording:

3. Findings and notes are **required** for all questions.
4. Strengths are optional.
5. Corrective actions/Opportunities for improvement: **Corrective action** is **required** if you do not achieve all the available points for a question, else you can optionally define an Opportunity for improvement.


 When composing the final audit responses for a question click on Show Comments (6) to view and/or copy your Evidence Gathering notes associated with the appropriate response section. Remember that you are now compiling the final response and it is a good time to rewrite your notes in full sentences as you would like them to appear in the final report.



There are some subtle differences between the 5 main audit sections and they will be discussed briefly below:

Safe Work Certified (SWC)

This section includes elements: A, B, C, D, E, F, G, H, I, J, K, L, M, N

The questions in this section determine the pass/fail percentages of the audit. Questions are automatically scored based on the responses that were defined in the Evidence gathering steps. There are a few scoring rules to be aware of:

- **Range Scoring:** Most questions are scored on a range basis and the points are awarded based on the % positive indicators achieved in the evidence gathering steps. All scoring is rounded to the nearest integer (examples are A.1, A.2 and A.3) for example:
 - 100% of 5 points is 5 points.
 - 50% of 5 points is 3 points.
- **AND Scoring:** Some questions must be verified by two verification methods **AND** both verification methods are required. In these instances, the lower scoring of the 2 verification methods will determine the score (examples are E.3, F.4 and F.7) for example:
 - If a question, worth 10 points, must be scored by Documentation **AND** Observation where the evidence gathering results are:
 - 80% for Documentation review (or 8 points)
 - 50% for Observations (or 5 points)

- The points awarded for the **AND** question will be the lower of the two options:
 - **SCORE:** 50% for Observations (or 5 points)
- **OR Scoring:** Other questions must be verified by two verification methods but either one **OR** the other verification method is required. In these instances, the higher scoring of the 2 verification methods will determine the score (examples are G.7, I.8 and I.11) for example:
 - If a question, worth 10 points, must be scored by Documentation **OR** Observation where the evidence gathering results are:
 - 80% for Documentation review (or 8 points)
 - 50% for Observations (or 5 points)
 - The points awarded for the **OR** question will be the higher of the two options:
 - **SCORE:** 80% for Documentation (or 8 points)

Element N

Element N is different for each IBSP and depends on the audit license requested. Each audit will have only one of the following possible sections:

Element	IBSP	Industry
N1	Made Safe	Manufacturing
N2	Manitoba Trucking Association (RPM)	Trucking
N3	Sales and Services Safety Association (S2SA)	Motor Vehicle
N4	Sales and Services Safety Association (S2SA)	Social Services
N5	Sales and Services Safety Association (S2SA)	Enforcement / Emergency
N6	Manitoba Association for Safety in Healthcare (MASH)	Healthcare

Optional

This section includes elements: A*, B*, C*, D*, F*, I* (all elements with an *)

This section, though having the name “Optional”, is required for certification audits, but the responses to the questions do not impact the pass/fail rating of the audit if all the applicable questions in this section are answered and all requirements are completed.

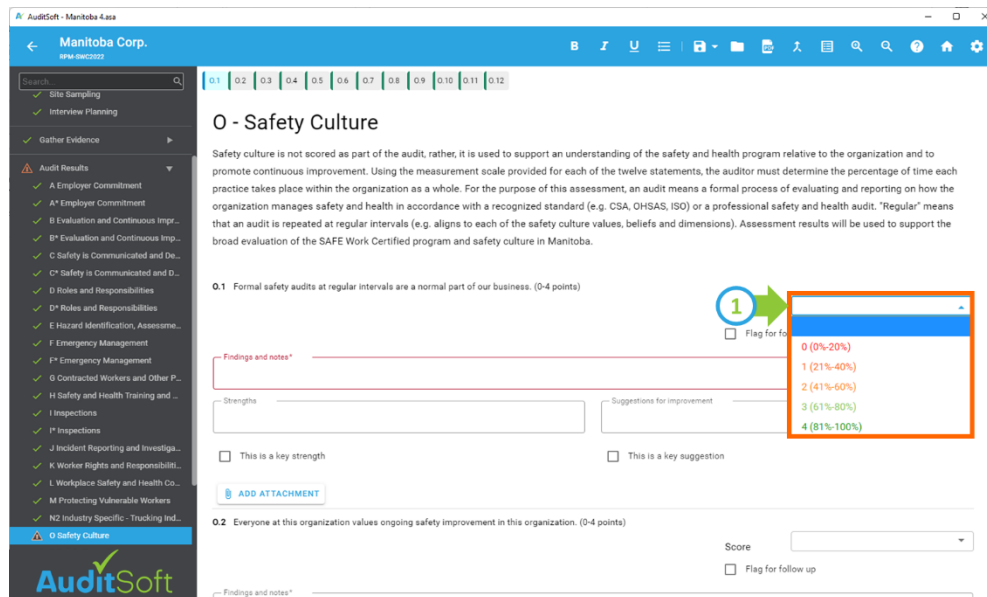


If you are conducting a **Maintenance Audit** the **Optional** group of questions can be excluded from the audit in **Select Content**.

Safety Culture

This section includes element: O

This section is required but the responses to the questions do not impact the pass/fail rating of the audit if all the questions in this section are answered and all requirements are completed.



Questions are manually scored by clicking on the drop-down list (1) of possible responses next to each question and selecting the appropriate response.

Safety Perception

This section includes element: P

This section is required but the responses to the questions do not impact the pass/fail rating of the audit if all the questions in this section are answered and all requirements are completed.

There are only two questions in the section and both questions are automatically scored based on interview responses.

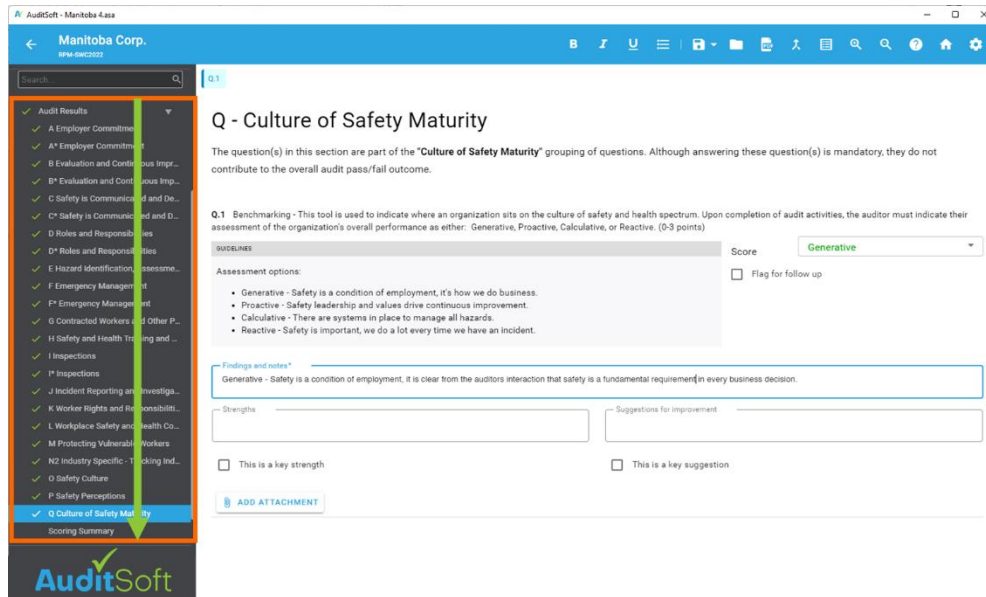
Culture of Safety Maturity

This section includes element: Q

This section is required but the responses to the questions do not impact the pass/fail rating of the audit if all the questions in this section are answered and all requirements are completed.

There is only one question in the section that must be manually scored by clicking on the drop-down list of possible responses next to the question and selecting the appropriate response.

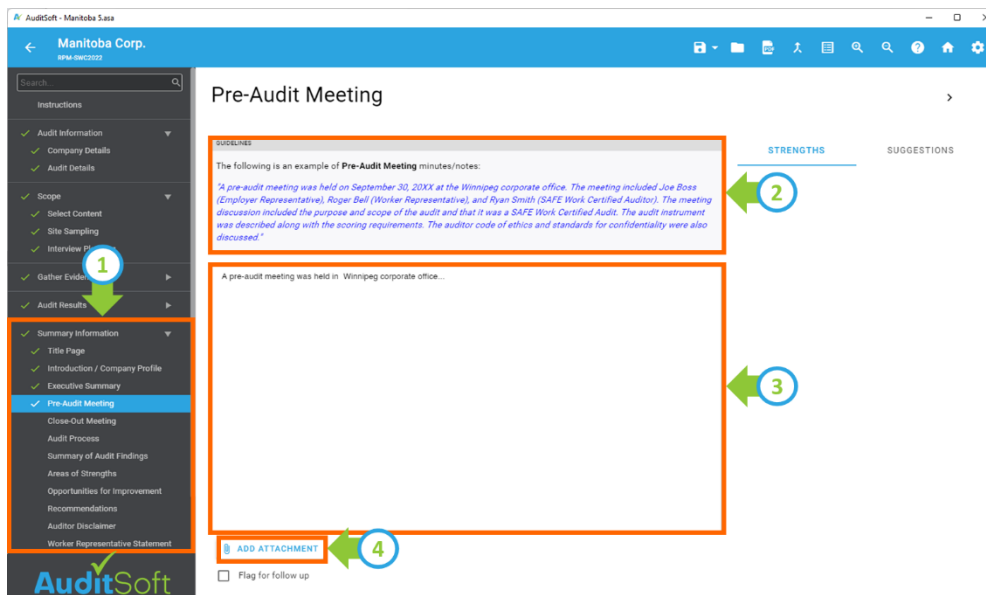
After answering every question in the Audit Results section, it will be marked with a green check mark next to each element and sub element. It is now time to move to the next section of the audit.

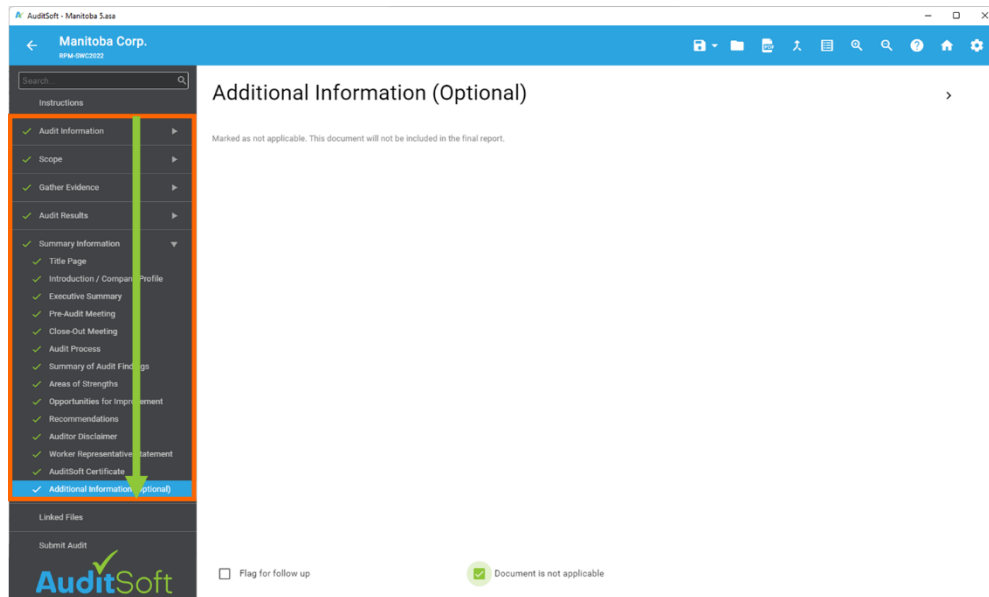


Summary Information

The final section of the audit to complete is the (1) Summary information section. This section is an accumulation of supporting documents and attachments that must be provided as part of the audit submission. Each sub-section may include:

2. Guidelines outlining what is expected as a response.
3. An area for providing a written response and/or
4. The ability to attach a document.





After completing this section your audit has been completed and there should be a green check mark next to each element on the left menu of AuditSoft. It is now time to move to the final section to submit your audit for quality assurance review.

Review and Submit

You are now ready to review your audit before submitting it:

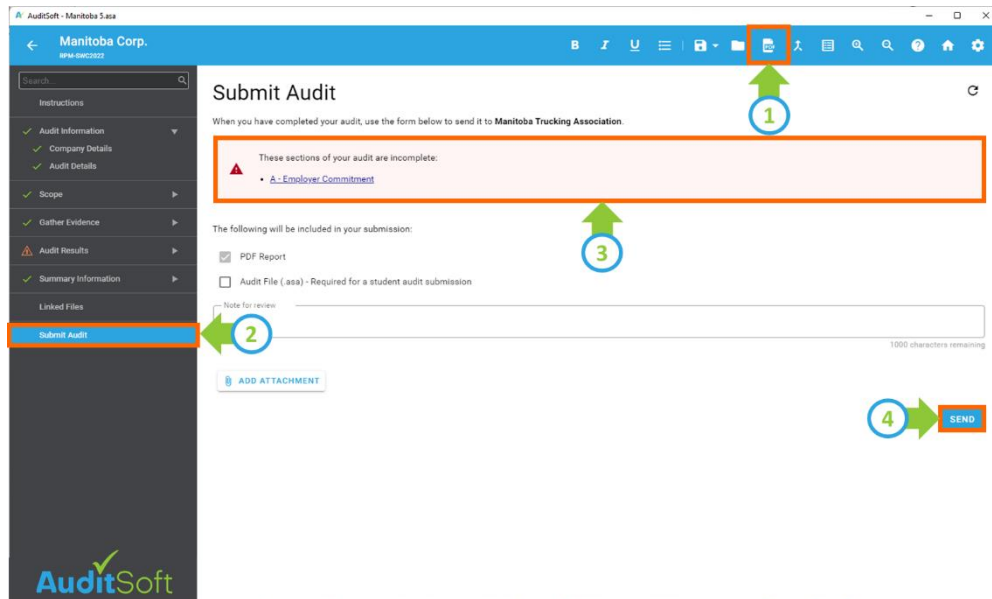
1. The **Save PDF report** button in the toolbar will create a draft PDF for you to review.



You do not have to complete the entire audit to review your PDF draft. You can create a draft at any time even if your audit is only 5% or 10% complete. Drafts are not submitted to your IBSP.



Draft PDF reports will be opened in the default PDF viewer on your computer. 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.



When you have reviewed the draft and you are ready to submit it to your IBSP:

2. Select **Submit** from the left navigation menu.
3. Confirm that there are not any incomplete sections in your audit. If there are, click on the link(s) to add additional content and then return to this section.
4. Click **Send** to submit your audit to your IBSP for quality assurance (QA).

Questions and Support

Content Questions

For question related to the content of the audit like:

- what exactly is expected as a response or
- where you can get more detail on how to answer a question or
- can this question be reworded, etc.

Please reach out to your IBSP for clarification they can be reached at:

- Made Safe Manitoba at info@madesafe.ca.
- RPM Trucking Industry Safety at info@trucking.mb.ca.
- Sales and Service Safety Association(S2SA) at info@s2sa.ca.
- Manitoba Association for Safety in Healthcare (MASH) at mashmb.ca

AuditSoft Questions

AuditSoft is a software company that implemented the questions set and guidelines as they were provided by Safe Work Manitoba (SWMB) and your IBSP. AuditSoft cannot change questions and/or wording independent of approval by your IBSP and SWMB.

If you have a question about how the AuditSoft 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
- **Phone:** 1 (888) 514 3534