

Getting Started with AuditSoft[™] for

Saskatchewan Construction Safety Association COR Audit



August 22, 2023







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Introduction

This document has been made available by Saskatchewan Construction Safety Association (SCSA) and AuditSoft[™]. It is provided to SCSA internal and external auditors as a guide for using AuditSoft[™] to complete a COR audit of a registered SCSA organization.

This document should be referenced in conjunction with the SCSA Auditor training handbook.

This training program is the result of a 2023 modernization initiative that replaced the outdated PDF audit with AuditSoft[™], the industry leading electronic audit software solution.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 approved changes and the audit covered in this document is not identical to the obsolete PDF audit that was used in prior years.

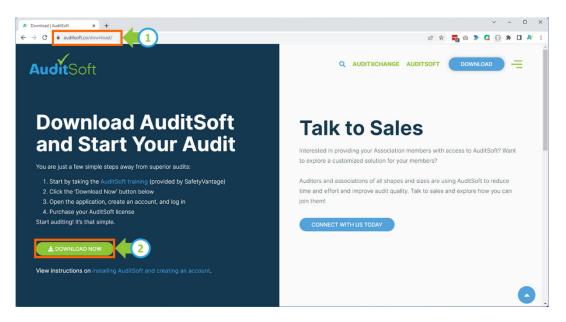


Getting Started Get AuditSoft™

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 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)
- You will be sent an email to verify your email address and once verified you can log in and start using AuditSoft™.



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Get a License

A license is required for every audit that is started.

- Licenses must be requested from SCSA and will be approved by SCSA if your account is in good standing.
- 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**.

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2. Select the SCSA COR2022 audit from the list of available audits.

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Note: Be sure not to select the SCSA Small Employer Certificate of Recognition (SECOR) audit if you are doing a COR audit.

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SALES & SERVICE	Manitoba - S2SA - Sales and Service - Safe Work Certified Audit License		
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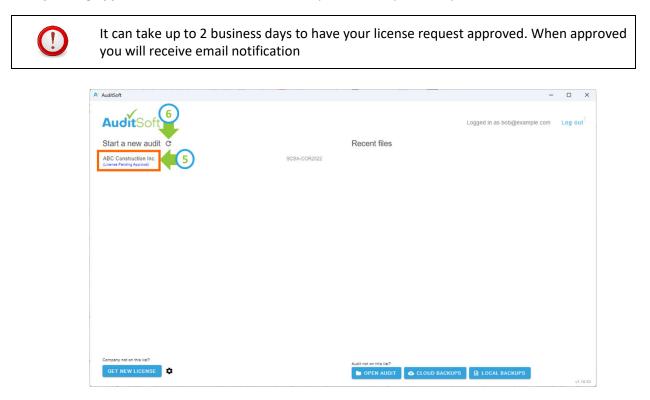
- 3. Enter the Legal name of the company to be audited.
- 4. Click Submit Request for your license request to go to SCSA.

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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"**



- 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 and Complete the Training

Once the AuditSoft[™] License has been approved you can:

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



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Company not on this list?		Audit not on this list?		
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2. This will open a new audit and the audit **Instructions** page will be displayed. Read the instructions.

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submit Audit	To successfully complete the COR, in the <u>Scoring Summary</u> , your organization must achieve: A score of 50% for each element A noverall score of 80% Help If you have questions about the audit content, please contact CSNS at <u>accainfo@accaonline.ca</u> For technical support with AuditSoft please see the application <u>heig</u> or contact <u>augront@AuditSoft.co</u> .

3. Before you proceed click on the training link and complete the AuditSoft[™] Application Overview online training.

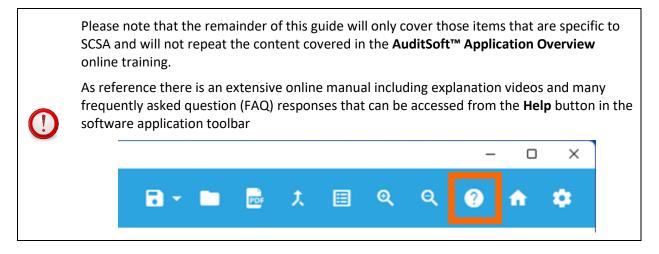
Online training is mandatory: Please do not proceed unless you have completed the 45-60 min online training course. The rest of this guide assumes you have completed the training and that you are familiar with the AuditSoft™ workflow and terminology covered in the training.
 Note: Remember to download a copy of your certificate of completion. You will need it to

submit your audit.

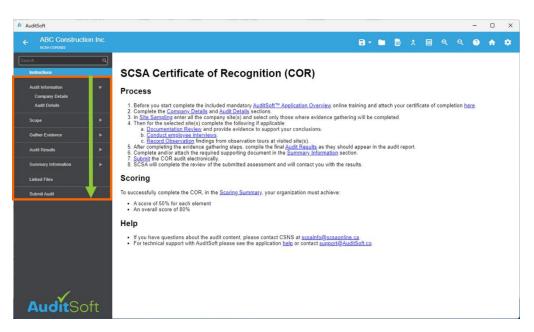


Audit Workflow

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



1. The workflow for completing an audit is to start at the instructions in the left navigation menu and to then complete the items systematically from the top to bottom, completing each section in the left navigation menu before moving to the next.



Audit Information

Company Details

This section lists the details of the company or organization that is being audited. Companies often merge or are acquired and AuditSoft[™] supports changes in business structure:



- 1. You can add multiple WCB account numbers.
- 2. And multiple Industry codes can be assigned to each WCB number.

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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: **30 days**.

To remind the auditor of this guidance:

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



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The time frames of the clock in AuditSoft[™] are there to guide the auditor with the intent of closing the audit snapshot in a recommended time frame. SCSA is the final authority on the amount of time that can be taken to complete your audit and SCSA may allow you to exceed the suggested time frames.

Important: Exceeding the recommended allotted time does NOT affect your ability to submit your audit.

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.

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Scope

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.

The worksites included in the audit must be representative of the organization's overall operations. To determine the number of worksites to visit, the SCSA's worksite visit guidelines have been incorporated and AuditSoft[™] automatically calculates the number of sites to include based on the active sites entered. The main office/shop must be included in the scope of the audit.



The head office/main office/shop must be included in the scope of the audit.

When updating this Site Sampling Summary page:

- 1. Select **Add site** to add every active site and the head office for the company.
- 2. For each site, enter the number of employees in each role that work at the site.

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	Sites included 2	Total interviewed 0
	Minimum required sites to include 2	Minimum required interviews 10
	Adjust these numbers manually	
AuditSoft		

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 3)



4. Based on the number of employees entered, a recommended minimum number of interviews is calculated. This recommended number of interviews is calculated based on the SCSA's interview sampling guidelines.

Next determine which sites with 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 an **Observation** tour.
- 5. 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.
- 6. For other ("Job site" or "Fixed Site") sites you may or may not include a documentation review (more about this in the documentation review section), interviews and/or observations based on the setup of the audit and whether you will physically or virtually visit the site.

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Interview Planning

Interview planning ensures that you select a representative sample of employees to interview. If the auditor determines that additional interviews are required based on organization size and diversity of work, the planned number of interviews can be adjusted:



- 1. The **Recommended interviews** are automatically calculated based on the fact that a fraction of a person cannot be interviewed. The result is that the **Recommended interviews** will often exceed the **Minimum required interviews**.
- 2. The distribution of the interviews across the included sites is presented in the interview plan.
- 3. Selecting the **Use Custom Interview Plan** option will allow the auditor to change this distribution of interviews manually. The auditor must receive a pre-approved alternative interview plan from the SCSA before proceeding.
- 4. And, if pre-approved by SCSA, select the option: **This interview plan overrides the automatically calculated minimum number of required interviews,** to override the automatically calculated minimum number of required interviews with the approved number of interviews.

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AuditSoft	Are new hires and experienced employees represented in the interview sampling? Please explain in the comments section below Yes	ب									•

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Gather Evidence

When gathering evidence, it is standard audit practice to visit one site at a time. At each visited site you may decide to complete any, or all, of the following evidence gathering steps:

- 1. Review documentation (D) to ensure that policies and procedures are in place,
- 2. Interview (I) employees to verify that they are aware of the policies and procedures, and
- 3. 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 documentation review and interview tasks can often be completed remotely or from a single location.

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 other ("Job site" or "Fixed Site") 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. Because they are companywide documents, they only need to be reviewed at the Head Office. They are the same at every other site and can therefore be omitted and do not have to be reviewed again when visiting other sites.
- **Operational Documents** These on the other hand, are site specific and include pre-job hazard assessments, inspections, emergency response plans and site-specific job descriptions. If these documents cannot be accessed and reviewed at the Head Office, they should be reviewed at every other site included in the audit.

To start the documentation review at the head office:

• In the **Gather Evidence** section of the left navigation menu select **Review Documentation** and then select **Add/Edit** next to the Head Office site name.



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All documentation review questions should be answered at the Head Office.

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 **Question is not applicable to this 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.

The documentation review requires the auditor to determine the **% Compliant (3)** based on the following available options:

- Yes (100% compliant with requirements); or
- **No** (0% compliant with requirements)

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Review Documentation Conduct Interviews	8 ADD ATTACHMENT		
Record Observations	1.3 Addresses accountability and responsibility for safety and health for workplace YES NO X My auditor notes go here.		
Audit Results	B ADD ATTACHMENT		
Summary Information	1.4 is signed by current senior management and appropriately dated? (2 points) YES NO 🔯 My auditor notes go here.		
Submit Audit	8 ADD ATTACHMENT		
	Do formal hazard assessments include all aspects of company operations, including VES NO R () My auditor notes go here. More		
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AuditSoft	2.2 During hazard assessments are both existing and potential hazards identified and reported? (0-3 points) More More More		

Reviewing documents at Other Site(s)

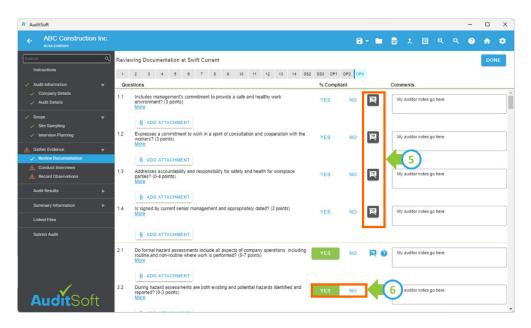
At the start of the **Review Documentation** section the differences between directive and operational documents were discussed. If all the operational documents required for the audit were not available at the head office for review, it may be necessary to review only those operational documents that were not available as part of a head office documentation review at other site(s).

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- 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 hazard assessments 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 <u>**Mathematical average**</u>. For example: if on an operational document review question 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

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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. This is accomplished by interviews to determine if employees were included in the development of the program and to gauge their understanding of the OHSMS, procedures and policies.

A representative sample of employees will be interviewed to verify specific audit questions. The auditor will determine whether the interviewee provided a **positive** or **negative** response. If an interviewee is



unwilling to provide a response to an interview question it can be marked as **no comment**, which is treated as a **negative** response.

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**.

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Perview Documentation Conduct Interviews Conduct Interviews Accord Observations Audit Results Summary Information	Swint Current Manager at Saskatoon Site not listed?			
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The Interview page will only list questions that are applicable to the role of the interviewee that was selected.

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Audit Information Company Details	Question	Comments	Response
Audit Details Scope Ste Sampling Interview Planning	Addresses accountability and responsibility for safety and health for workplace parties? (0-4 points) wrtew/dw outshoks • What are your safety and health responsibilities? • How are you held accountable for them?	My auditor notes go here.	0 • 0 🛛
Gather Evidence Review Documentation Conduct Interviews	Mare Show other comments		
Record Observations 1.5 Audit Results	Is visibly posted in the workplace and/or made readily available to all workplace parties. (3 points) wrenview outsmoke	My auditor notes go here.	0•0
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Submit Audit	ADD ATTACHMENT		
18	Is communicated to workplace parties? (3 points) writework outshows • In your own words, what does the safety and health policy say? <u>More</u>	My auditor notes go here.	1 O 💀
AuditSoft 21	ADD ATTACHMENT Do formal hazard assessments include all aspects of company operations, including rules and non-routine where work is netformed? (0-7 noints)	My auditor notes go here.	



Interview responses are stored in the AuditSoft[™] audit file (.asa), but to ensure auditorinterviewee confidentiality, individual interview responses are not reported in the PDF audit report. Responses are aggregated and converted into a % which is included in the report and used to score the audit.

Important: Care should always be taken to ensure that specific employee responses cannot be deduced from written findings in the **Audit Results** section 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 purpose of conducting observations is to verify the information gathered during the documentation review and the interviews, and to get a sense of the overall level of compliance with the standards and company policies and procedures.

In AuditSoft[™] navigate to **Record Observations** within the **Gather Evidence** section on the left side in the navigation menu and enter your detailed observation notes for each site toured.



Averaging the Observation **% Compliant** over multiple sites is calculated based on a <u>Mathematical average</u>. 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 evidence gathering steps represent the bulk of work in any audit and after completion the **Gather Evidence** section in the navigation menu 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.

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Audit Results

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

The information presented in this section must be detailed enough for the organization to address gaps identified in their OHSMS.

Audit Results contains 14 elements and 3 supplementary elements, with each element of the audit having several questions. When answering each question, 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:

- 1. Findings and notes are **<u>required</u>** for all questions.
- 2. Strengths are optional.
- Recommendation/Opportunities for improvement: A Recommendation is <u>required</u> 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** (4) to view and/or copy your **Evidence Gathering** notes associated with the question. Remember that you are now compiling the final response and you should rewrite your notes as full sentences for the final report.

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Scoring

Every audit question is verified during the **Evidence Gathering** process by appropriate documentation, interviews and/or observations and by then assigning a **Yes for 100 % Compliant or No for 0% Compliant** for each verification method used.

The **% Compliant** assigned to each question is automatically converted into question scores through one of the SCSA scoring rules. If a question has multiple evidence gathering requirements the scoring rules are applied to each separately:

- 1. Documentation All-or-Nothing Scoring
 - a. Must be 100% compliant to get all the points.
 - b. 99% compliant or less results in 0 points.
- 2. Interview All-or-Nothing Scoring
 - a. Must be 50% compliant to get all the points.
 - b. 49% compliant or less results in 0 points.
- 3. Observation All-or-Nothing Scoring
 - a. Must be 100% compliant to get all the points.
 - b. 99% compliant or less results in 0 points.
- 4. **Other Special Questions**: Some questions in the audit that have special rules that determine how evidence gathering steps will be combined to determine the score. They are:
 - a. OR Scoring questions
 - i. Two or more options are available for scoring these questions and the auditor must select which of the available soring options to use. For example, should the sore be determined by the D, I or O?
 - ii. For these questions the selection of the evidence method to use is determined by the auditor and is NOT done automatically.
 - iii. **<u>Examples:</u>** 2.9, 2.11, 3.5, 5.3, etc.

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- b. **AND** Scoring questions
 - i. For "AND" questions requiring 2 or more evidence verification methods both must be compliant to score point.
 - ii. For "AND" questions AuditSoft will automatically select the method that results in the LOWEST number of points.
 - iii. **Examples:** 2.2, 2.10, 3.1, 8.10, etc.

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.

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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. An area for providing a written response and/or
- 3. The ability to attach a document.

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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 a quality assurance review.

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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 SCSA.

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.

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

- 2. Select **Submit** from the bottom left in the 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 SCSA for quality assurance (QA).



Questions and Support

Content Questions

For answers to questions 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 SCSA for clarification they can be reached at:

- Email: programinfo@scsaonline.ca
- Phone: 1 (306) 525 0175

AuditSoft[™] Questions

AuditSoft[™] is a software company that implemented the questions set and guidelines as they were provided by SCSA. AuditSoft[™] cannot change questions and/or wording independent of approval by SCSA.

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: <u>https://AuditSoft.co/support/</u>

Or if you require software support, please contact AuditSoft[™] at:

- Email: <u>support@AuditSoft.co</u>
- Phone: 1 (888) 514 3534