

## EXPLORING THE AUDITSOFT AUDIT TOOL

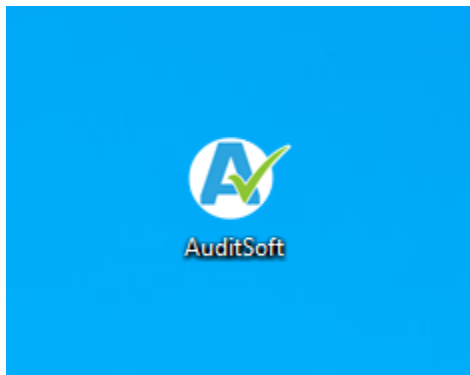
### INSTALL & ACTIVATION

1. The first step is to go to **www.AuditSoft.co**
2. Click on the **download** button
3. Follow the instructions to install the application

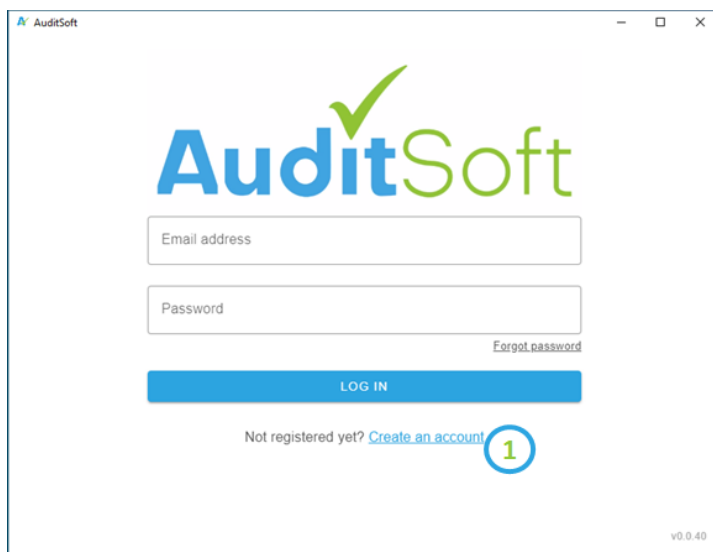
**Note:** Some anti-virus application may prevent the download/Install and you may have to add an exception for AuditSoft in order for it to install.

### CREATING AN ACCOUNT

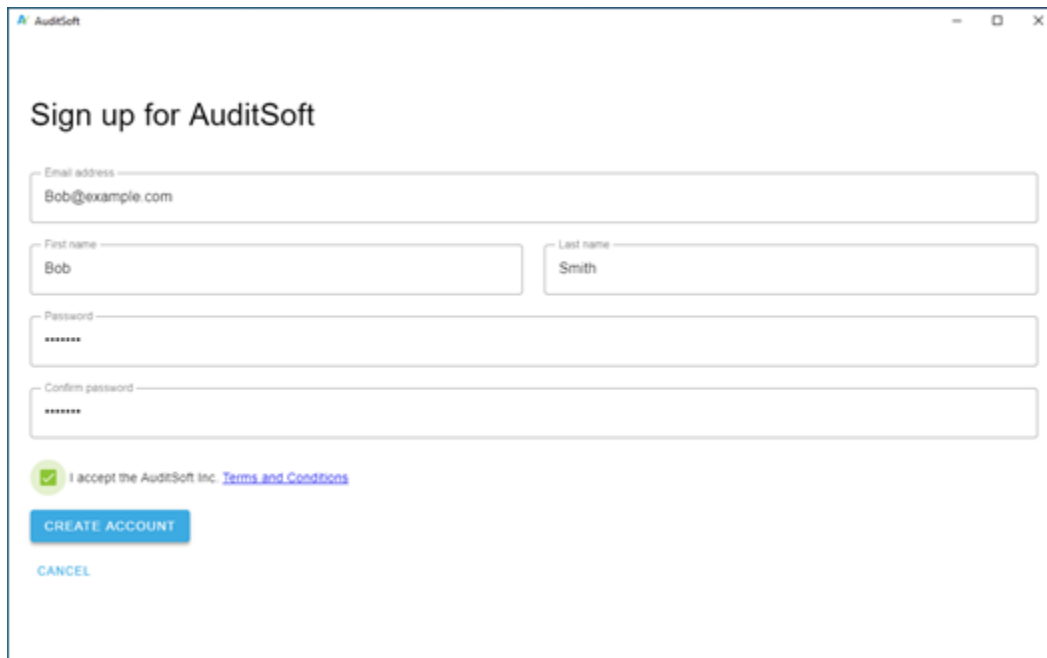
1. Launch the application by clicking on the application icon



2. Next click on the **Create an account** link (1) at the bottom of the login page



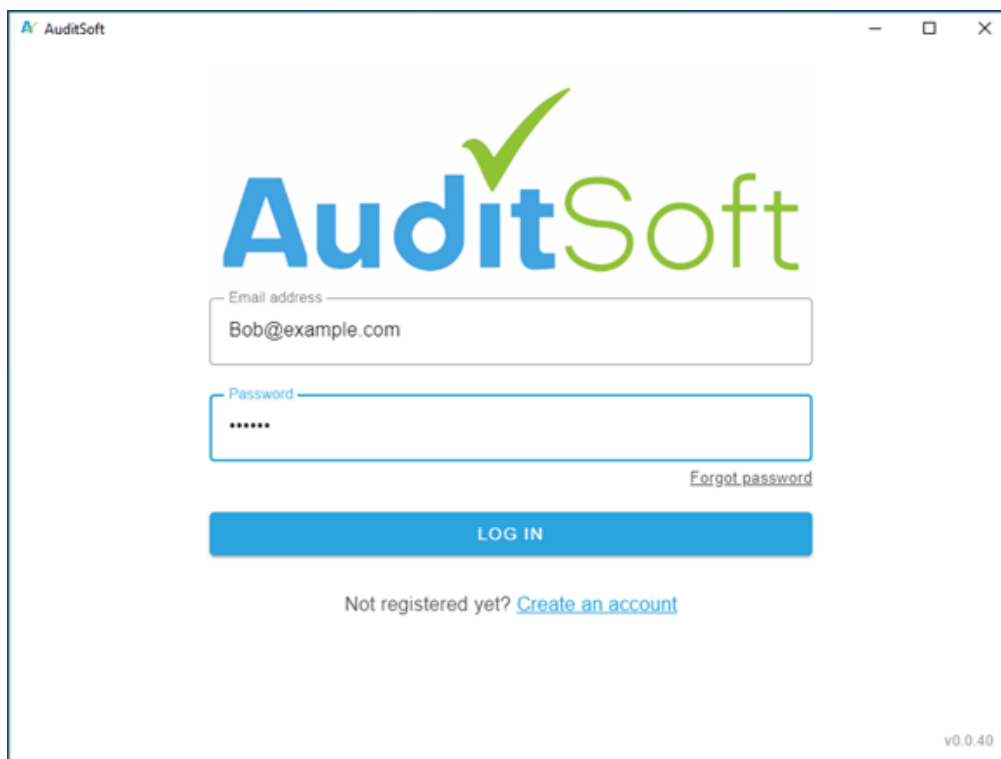
3. Complete the registration page:



A screenshot of a web browser window titled "AuditSoft". The page is titled "Sign up for AuditSoft". It contains a registration form with the following fields: "Email address" (filled with "Bob@example.com"), "First name" (filled with "Bob"), "Last name" (filled with "Smith"), "Password" (filled with "\*\*\*\*\*"), and "Confirm password" (filled with "\*\*\*\*\*"). Below the form, there is a green checkmark icon and the text "I accept the AuditSoft Inc. [Terms and Conditions](#)". At the bottom of the form, there are two buttons: "CREATE ACCOUNT" (highlighted in blue) and "CANCEL".

## LOGIN

Now that you have an account you can login with your registered user account credentials:

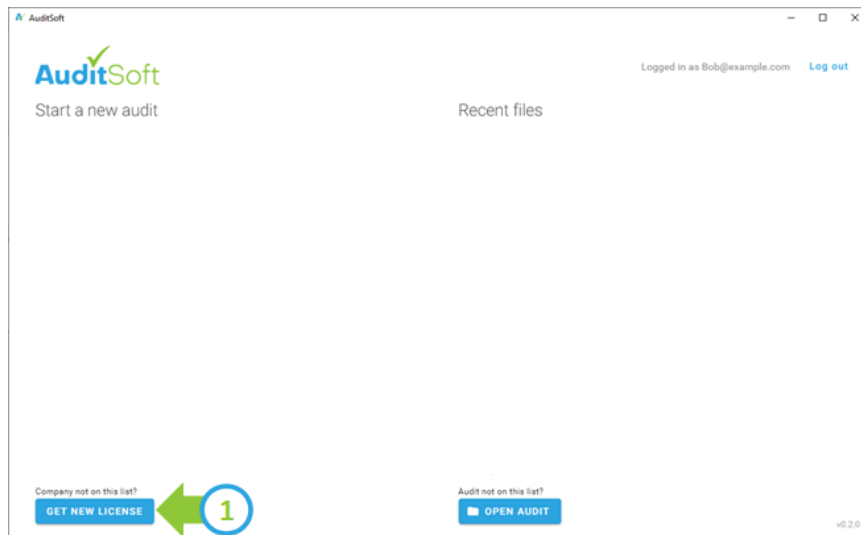


A screenshot of a web browser window titled "AuditSoft". The page features the AuditSoft logo, which consists of the word "Audit" in blue and "Soft" in green, with a green checkmark above the "i" in "Audit". Below the logo, there is a login form with two fields: "Email address" (filled with "Bob@example.com") and "Password" (filled with "\*\*\*\*\*"). To the right of the password field, there is a link that says "Forgot password". Below the form, there is a blue button labeled "LOG IN". At the bottom of the page, there is a link that says "Not registered yet? [Create an account](#)". In the bottom right corner, the version number "v0.0.40" is displayed.

## AUDIT LICENSE

Production licenses can be purchased directly from the AuditSoft home page.

1. Ensure that you are logged in to AuditSoft
2. On the left side of the page select **Get new license** (1)



3. In the Registration page you will specify the details of the company that you will be auditing
4. **IMPORTANT:** you will NOT be able to change the **Audit Protocol** (2) or the **Legal Company name** (3) after completing the license purchase.

Please double check the spelling of the Legal company name and ensure that you have selected the correct protocol

### License details

Select an audit protocol

AMHSA - COR Audit License - Documentation only

Legal name of company to be audited

Country of audit: Canada

Province of audit: Alberta

☐ Add one year of cloud backups for your audits [Learn more](#)

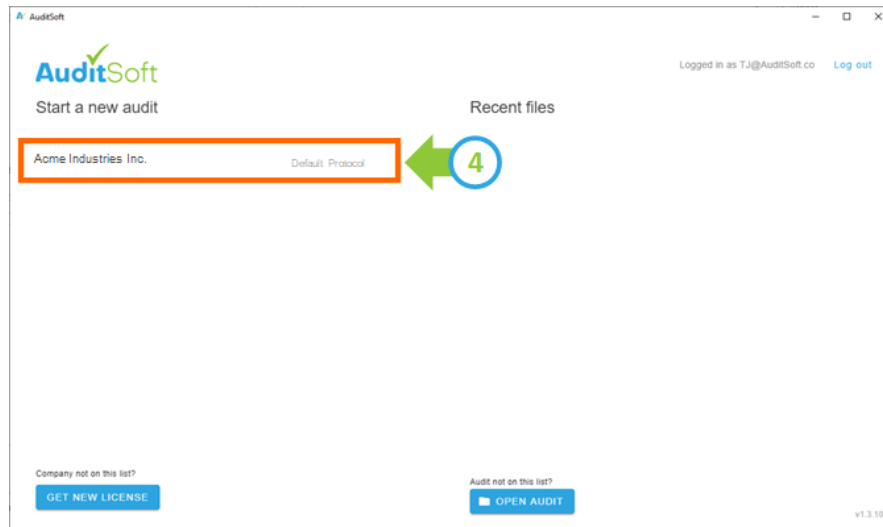
### Your order

AMHSA - COR Audit License - Documentation only	\$125.00
GST	\$6.25
<b>Total</b>	<b>\$131.25</b>

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

[PURCHASE](#) [CANCEL](#)

5. Next you will be prompted to provide your credit card details and then your credit card will be processed for the purchase amount
6. If your credit card is successfully processed the purchased license will appear on the Home page under the **Start a new audit** column (see 4 below). To start an audit simply click on this license.

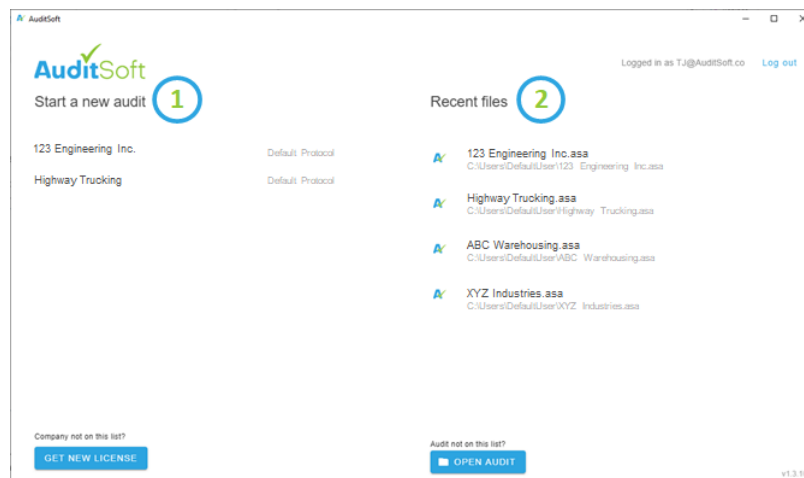


**Note:** In the case of team audits each of the auditors in your team will be required to have their own license in order to access AuditSoft

## STARTING AN AUDIT

Now that you have **obtained a license for your first audit** you can get started by either:

- starting a new audit by clicking on a license in the left column (1) under **Start new audit** or
- by a clicking on one of the **Recent files** in the right column (2)



## LAYOUT COMPONENTS

AuditSoft has 3 main components as shown in the image. They are:

3. Tool bar - Audit tool functions such as the process home button, save, save as, and a detailed help button.
4. Navigation menu - Lists all components of the audit – used to move between sections and questions.
5. Content page - Shows the information selected from the navigation section.

The screenshot displays the AuditSoft application interface. At the top, a blue header bar contains the 'AuditSoft' logo, a back arrow, a refresh icon, the text 'Acme Industries Inc.', a green circle with the number '3', and a series of icons for file operations (save, save as, print), user profile, list view, search, and help. On the left, a dark grey navigation menu lists 'Audit Information', 'Company Details' (highlighted with a green circle and the number '4'), 'Audit Details', 'Scope', 'Gather Evidence', 'Audit Results', and 'Summary Information'. The main content area, titled 'Company Details', contains several input fields: 'Legal name' (pre-filled with 'Acme Industries Inc.'), 'Trade Name', 'Address\*', 'City\*', 'Province / State\*' (a dropdown menu), 'Postal / ZIP code\*', 'Phone number\*', 'Company name based on your license', 'Contact first name', and 'Contact last name'. A checkbox labeled 'This company has a Certificate of Recognition' is also present, with a green circle and the number '5' next to it. The AuditSoft logo is visible in the bottom left corner of the content area.

When you begin your audit, start by following the navigation menu and enter in the company and audit details.

Continue entering your audit information by selecting the “scope” section on the navigation menu. Enter information relating to the sites and locations, employees by level, and a justification for sampling representation. The tool will automatically calculate the number of sites to visit and the number of interviews to conduct.

## GATHERING EVIDENCE

The Gather Evidence section of the navigation menu deals with 3 areas of data gathering: Documentation, Interviews, and Observation.

## REVIEW DOCUMENTATION

Select Review Documentation from the navigation menu and click on add/edit to enter your comments from each site where you reviewed documentation.

**REVIEW DOCUMENTATION**

Record documentation review results for the sites visited during this audit

Site visited: Public Works      Evidence:

**ADD / EDIT**      **CLEAR**

Site not listed? [Add or edit visited sites](#)

Once you click on add/edit a list of the audit questions which require documentation review will display.

	Question	Comments	% Compliant
1.1	Is there a written Health and Safety Policy signed by the current senior manager? (5 points) <a href="#">More</a>	<input type="text"/>	<input type="text"/>
1.5	Have specific health and safety responsibilities been written for all levels? (0-10 points) <a href="#">More</a>	<input type="text"/>	<input type="text"/>
1.12	Does management participate in meetings where health and safety is discussed? (0-10 points) <a href="#">More</a>	<input type="text"/>	<input type="text"/>
2.1	Have jobs been inventoried for the purpose of formal hazard assessments? (0-10 points) <a href="#">More</a>	<input type="text"/>	<input type="text"/>

Clicking on the **more** link below each question will expand the question to reveal additional information. These guidelines provide more detail on what to look for, and how to score your findings.

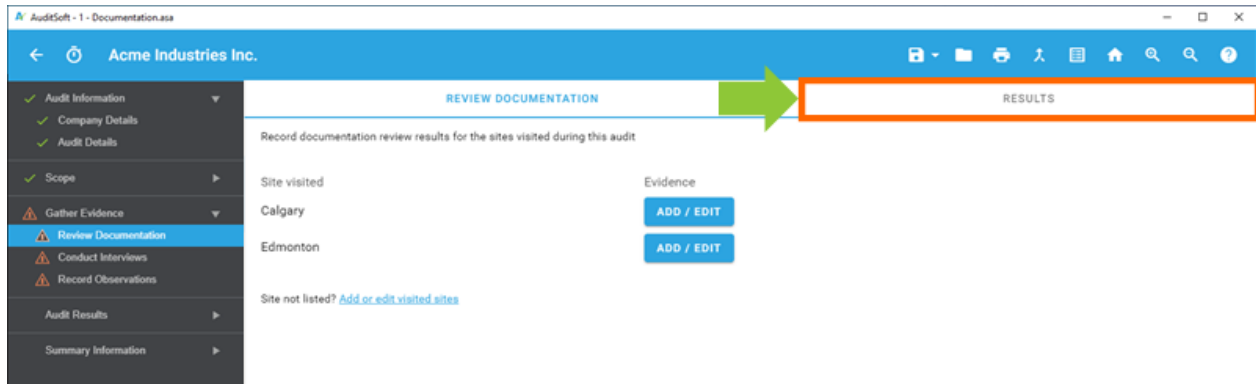
Based on the evidence reviewed, record your findings in point-form in the **Comments** section. These **Comments** are used later to compose a formal answer to the audit question. It is recommended that you keep your notes short and to the point because you are only reviewing documentation at one site and have not completed the interview and observation steps, and do not know if the evidence from those steps will support your initial findings.

Next assign a **% Compliant** indicating to what degree the reviewed evidence meets the audit requirements. You should assign the percentage in accordance with the question's guidelines.

**IMPORTANT:** Note, the **% Compliant** is not the same as the scoring the audit question. The question score is automatically calculated based on the total **% Compliant** assigned across all the visited sites. Scoring is covered in the **Audit Results** section.

## REVIEW DOCUMENTATION RESULTS

The results of all complete documentation reviews can be viewed by clicking on the **Results** tab.



This presents all the documentation review findings in a single table and gives you a holistic view of the entire audit and insight into the areas that did well and areas that are an opportunity for continuous improvement.

There are columns displaying the **% Compliant** at each visited site and a **Results** column, which combines those results.

The **Results** column data is used for scoring in your final audit report are calculated based on specifications of the selected audit protocol as either:

- the mathematical average of the sites visited, or;
- the weighted average based on the number of employees at each visited site

**Note:** if the **% Compliant** was omitted the assigned **% Compliant** is marked as **N/A** in this table and is excluded from all calculations.

Acme Industries Inc.		REVIEW DOCUMENTATION		RESULTS	
Question	Result	Comments	Calgary	Edmonton	
1.1 Is there a written Health and Safety Policy signed by the current senior manager? (5 points)	100%	Auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize findings across all visited sites.	100%	N/A	
1.5 Have specific health and safety responsibilities been written for all levels? (0-10 points)	83%	Auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize findings across all visited sites.	83%	N/A	
1.12 Does management participate in meetings where health and safety is discussed? (0-10 points)	83%	Auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize findings across all visited sites.	83%	N/A	
2.1 Have jobs been inventoried for the purpose of formal hazard assessments? (0-10 points)	67%	Auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize findings across all visited sites.	65%	70%	
2.2 Has the employer compiled a list of tasks associated with each job? (0-20 points)	82%	Auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize findings across all visited sites.	77%	90%	



## CONDUCT INTERVIEWS

The Content Page on the right lists a table containing all the sites that must be visited during the audit and the job roles that must be interviewed at each visited site. Each table cell contains a fraction showing how many interviews have been completed relative to the recommended number of interviews for a specific role at each visited site.

To start your first interview click on the role cell in the table that corresponds to the site where the interviewee is located.

The screenshot shows the 'AuditSoft - 1 - Documentation.ass' window. On the left is a sidebar with a menu: Audit Information, Company Details, Audit Details, Scope, Gather Evidence, Review Documentation, **Conduct Interviews** (highlighted with a green arrow), Record Observations, Audit Results, and Summary Information. The main area is titled 'SELECT INTERVIEWEE' and 'RESULTS'. It contains a table with 'Site visited' as rows and job roles as columns. A green arrow points to the 'Senior manager' role for the 'Calgary' site.

Site visited	Senior manager	Manager	Supervisor	Full time worker	Part time worker	Casual worker	Contract worker
Calgary	0 / 2	0 / 4	0 / 5				
Edmonton		0 / 2	0 / 3	0 / 5			

Site not listed? [Add or edit visited sites](#)

Interviews are intended to be anonymous and you should only identify the interviewee by title. The **Title** field at the top of the page is optional, but is useful for distinguishing between responses from interviewees with the same role and that work at the same site.

The audit questions listed on the Content page are only those that require a response from the selected interviewee **Role** and all other questions are excluded from the question listing. You can change question lists by changing the **Role** of the interviewee.

**IMPORTANT:** Remember, when you are conducting interviews, you are verifying that the system you are auditing is understood by the employees of the business. The best way to do that is through a conversation about policies and procedures, and how employees implement them in their daily activities. To assist you with this the question may includes sample questions.

The screenshot shows the 'AuditSoft - 1 - Interview.ass' window. On the left is a sidebar with a menu: Audit Information, Company Details, Audit Details, Scope, Gather Evidence, Review Documentation, **Conduct Interviews** (highlighted with a green arrow), Record Observations, Audit Results, and Summary Information. The main area shows a form for selecting an interviewee. It includes fields for 'Site' (Calgary), 'Role' (Senior manager), 'Title', and 'Quantity' (1), with a 'DONE' button. Below this is a table of questions with a 'Response' column.

Question	Comments	Response
Has completed questionnaire		<input type="checkbox"/>
Is the health and safety policy communicated to employees? (0-5 points) <a href="#">More</a>		Not asked
1.4 Are employees aware of the health and safety policy's content? (0-5 points) <a href="#">More</a>		Not asked
1.6 Do employees understand their: <a href="#">More</a>		
1.6a Individual OHS rights? (0-5 points)		

Expanding the question by clicking on the **More** link will reveal the question instructions and if provided by the protocol this will include suggested sample questions that can be used as conversation starters. They assist you in determining the employee's understanding of the content. The conversation that follows helps determine the interviewee's response to the question.

AuditSoft - 1 - Interview.aa

Acme Industries Inc.

Site: Calgary Role: Senior manager Title: Quantity: 1 DONE

Question: Has completed questionnaire

1.3 Is the health and safety policy communicated to employees? (0-5 points) [Less](#)

Verified by senior manager, manager, and supervisor interviews.

Interviewees must be able to describe how they ensure that the policy is communicated to employees.

Points are awarded based on the percentage of positive responses. Provide examples.

- What areas are you responsible for?
- How long have you worked here?
- How long have you been in this position?
- Do you take a lead role in formal hazard assessments?
- Do you directly supervise workers?
- Are you on the HSC committee or the HS Representative?
- How do you ensure employees are made aware of your H&S policy?

Auditor can reinforce that contractors can also include self-employed persons.

Response: Not asked

Based on the employee's response, summarize your confidential **Comments** in point form. In this section you are just gathering information, not writing the final report. The comments you add here do not show up in the final audit report, but they can be referenced when deciding what suggestions to make, or what to follow up on during the site observation tour.

The **Comments** you enter also appear every time you conduct an interview, so you can collect all your comments about a question in one place, making it easier for you to speak to specifics when you're completing your findings (see 1 below).

AuditSoft - 1 - Interview.aa

Acme Industries Inc.

Site: Calgary Role: Senior manager Title: Quantity: 1 DONE

Question: Has completed questionnaire

1.3 Is the health and safety policy communicated to employees? (0-5 points) [Less](#)

Verified by senior manager, manager, and supervisor interviews.

Interviewees must be able to describe how they ensure that the policy is communicated to employees.

Points are awarded based on the percentage of positive responses. Provide examples.

- What areas are you responsible for?
- How long have you worked here?
- How long have you been in this position?
- Do you take a lead role in formal hazard assessments?
- Do you directly supervise workers?
- Are you on the HSC committee or the HS Representative?
- How do you ensure employees are made aware of your H&S policy?

Auditor can reinforce that contractors can also include self-employed persons.

Response: Positive 2

Next to the comments, select the appropriate **Response** that you received from the employee (see 2 above). There are four options:

1. **Positive**,
2. **Negative**,
3. **No Comment** – this is treated in the same manner as “negative”, and;
4. **Not Asked** – Always check with your certifying partner or certification body before skipping questions. As a general rule, all questions must be asked to all interviewees, but there may be exceptions.

When the interview is complete, click **Done** to return to the summary page. Notice that the interview table is updated accordingly.

## ENTER MULTIPLE INTERVIEWS

In some cases, it may not be practical to record interview results on your computer while conducting interviews. For example, if you are at a remote site, you may need to interview employees in your vehicle. It may be more practical for you to record your results on paper. Then, when you return to your home office, these paper results must be entered. Rather than entering the results individually, you can use the bulk data entry option to enter the combined results of multiple interviews.

To make a single data entry for multiple employee interviews first change the interview **Quantity** to represent the number of interviews that are being entered. You will notice that the answer column is replaced by two columns:

1. The first represents the number of positive responses and
2. The second the total number of employees that were asked to answer the question.

For example:

- If you asked the question to five workers, and only four had positive responses record 4 out of 5.
- If you asked the question to five workers, and one worker had no comment and 3 had positive responses record 3 out of 5.

## CONDUCT INTERVIEWS RESULTS

The results of all complete interviews can be viewed by clicking on the **Results** tab.



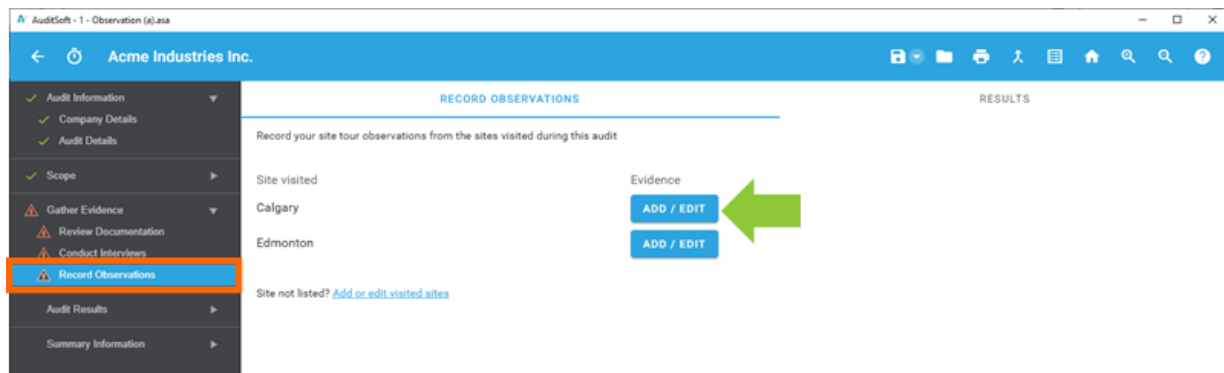
This presents all the interview responses in a single table and gives you a holistic view of the entire audit and insight into the areas that did well and areas that are an opportunity for continuous improvement.

There are columns displaying each conducted interview and the **Response** recorded for each question. The **Results** column, lists the total percentage of positive indicators for each question.

		SELECT INTERVIEWEE		RESULTS						
		Question	Result	Comments	Calgary - Senior manager	Calgary - Senior manager	Calgary - Senior manager	Calgary - Senior manager	Calgary - Senior manager	Calgary - Senior manager
1.3	Is the health and safety policy communicated to employees? (0-5 points)	64%	Auditor confidential interview notes are summarized here.	Positive	Positive	Positive	Positive	Positive	Positive	Pos
1.4	Are employees aware of the health and safety policy's content? (0-5 points)	58%	Auditor confidential interview notes are summarized here.	Positive	Positive	Positive	Positive	Positive	Positive	Pos
1.6	Do employees understand their:									
1.6a	Individual OHS rights? (0-5 points)	50%		Positive	Negative	Negative	Positive	Positive	Positive	Pos
1.6b	Company assigned health and safety responsibilities? (0-5 points)	55%		Positive	No comment	Positive	Positive	Positive	Positive	Pos
1.6c	Legislated health and safety responsibilities? (0-5 points)	52%		Positive	Not asked	Positive	Negative	Positive	Positive	Pos
1.7	Do managers and supervisors understand the responsibility for the health and safety of the workers under their supervision? (0-5 points)	50%		N/A	N/A	No comment	Positive	No comment	No comment	Pos
1.8	Are employees evaluated on their individual health and safety performance? (0-10 points)	58%	Auditor confidential interview notes are summarized here.	Positive	Positive	Positive	Positive	Positive	Positive	Pos
1.9	Does senior management communicate to employees, at least annually, the organization's commitment to health and safety? (10 points)	50%	Auditor confidential interview notes are summarized here.	Positive	Negative	Positive	Positive	Positive	Positive	Pos

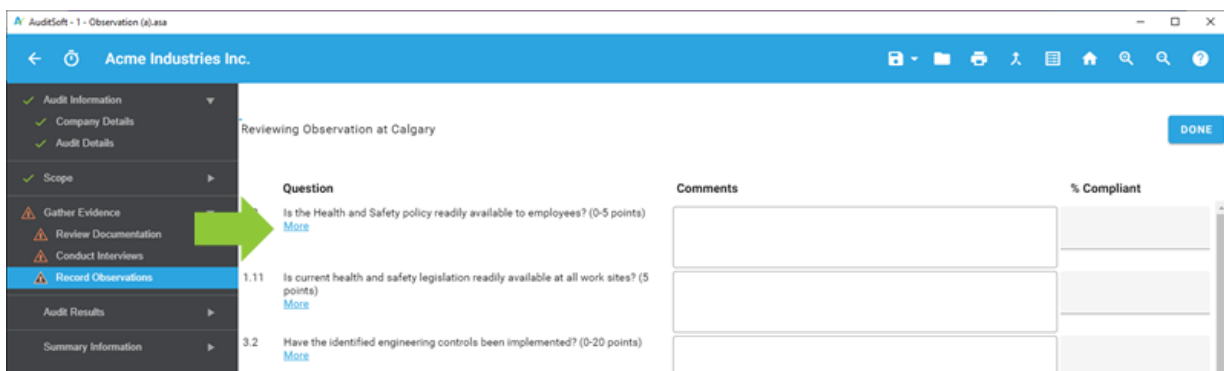
## RECORD OBSERVATIONS

The Content Page on the right lists only those sites that were marked as Visited in the **Site Sampling Summary**. If a site is not listed, click on the **Add or Edit visited sites** to change your selection of visited sites.



To record results from your observation tour, click on the **Add or Edit** button next to the site that you toured.

The Content Page lists only those question within the audit that must be verified through an observation tour and it list each question as it appears in the protocol.



Clicking on the **More** link below each question will expand the question to reveal additional information. These guidelines provide more detail on what to look for, and how to score your findings.

Based on the evidence reviewed record your findings in point-form in the **Comments** section. These **Comments** are used later to compose a formal answer to the audit question. It is recommended that you keep your notes short and to the point because are only reviewing one site and have not completed all the documentation review, interview and observation steps, and do not know if the evidence from those steps will support your initial findings.

Next assign a **% Compliant** indicating to what degree the reviewed evidence meets the audit requirements. You should assign the percentage in accordance with the question's guidelines.

**IMPORTANT:** Note, the **% Compliant** is not the same as the scoring the audit question. The question score is automatically calculated based on the total **% Compliant** assigned across all the visited sites. Scoring is covered in in the **Audit Results** section.

## RECORD OBSERVATIONS RESULTS

The results of all complete observation tours can be viewed by clicking on the Results tab.

This presents all the observation tour findings in a single table and gives you a holistic view of the entire audit and insight into the areas that did well and areas that are an opportunity for continuous improvement.

RECORD OBSERVATIONS		RESULTS	
Question	Result	Comments	
			Calgary Edmonton
1.2 Is the Health and Safety policy readily available to employees? (0-5 points)	85%	auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize the findings across all visited sites.	89% 78%
1.11 Is current health and safety legislation readily available at all work sites? (5 points)	95%	auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize the findings across all visited sites.	93% 98%
3.2 Have the identified engineering controls been implemented? (0-20 points)	78%	auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize the findings across all visited sites.	78% 78%
3.4 Have the identified personal protective equipment (PPE) controls been implemented? (0-20 points)	79%	auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize the findings across all visited sites.	97% 53%
3.6 Are employees using the established hazard controls? (0-5 points interview) (0-10 points observation)	93%	auditor confidential notes are recorded here. Although these notes are not included in the final report they can be copied and expanded upon in later stage of the audit. These notes summarize the findings across all visited sites.	89% 100%

There are columns displaying the **% Compliant** at each visited site and a **Results** column, which combines those results.

The **Results** column data is used for scoring in your final audit report are calculated based on specifications of the selected audit protocol as either:

- the mathematical average of the sites visited, or;
- the weighted average based on the number of employees at each visited site

**Note:** if the **% Compliant** was omitted the assigned **% Compliant** is marked as **N/A** in this table and is excluded from all calculations.

## WRITING THE AUDIT REPORT

The **Audit Results** section of AuditSoft is where you compose your findings and summarize the evidence you collected during your evidence-gathering activities. These findings support the percentages that were assigned in the evidence gathering steps assign and form the basis of any suggestions that you make on how to improve the audited Occupational Health and Safety Management System.

Selecting **Audit Results** (see 1 below) will expand the section and will show all the audit elements (see 2 below). The first element is always selected by default.

## SHOW AND APPEND COMMENTS

Below each question are two buttons:

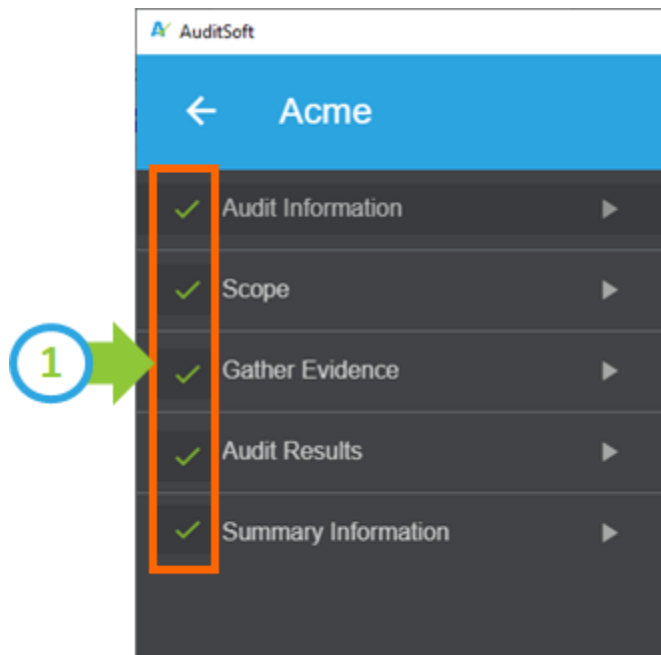
- **Show Comments** : This reveals the confidential notes that were recorded during the Documentation, Interview, and Observation steps. Review them before you start to write your notes and findings.
- **Append comments** : Enables you to add the comments directly to either the “Findings and Notes”, “Strengths” and /or the “Suggestions for improvement” sections of the question response. After appending your notes you can revise them to compose the audit question’s final response as you want it to appear in the audit report.

**Note:** These buttons only appear if you recorded noted in the evidence gathering steps

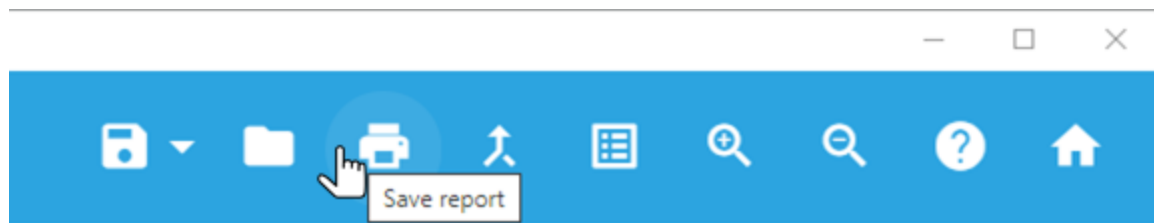
## EXPORT PDF AUDIT REPORT

Ensure that all the sections of the audit have been completed. This will be indicated by a "check-mark" in the navigation structure next to each menu section - see (1) below.





Select the **Print Report** option from the tool bar and save the PDF report



### SUBMITTING THE AUDIT

Email the saved final report along with any attachments to [audits@amhsa.net](mailto:audits@amhsa.net) to start the quality assurance review process. AMHSA will review the submitted audit and will request revisions if required.

**IMPORTANT:** Do not provide a copy of the report to the client until you receive approval from the AMHSA.

The Auditor is responsible to provide the client with a copy of the approved audit report after AMHSA's quality assurance audit review process is completed.